

Suggs, Faye (ASRC)

410

237530

From: NGA NGUYEN [nga.nguyen@uspto.gov]  
Sent: Monday, September 17, 2007 8:59 AM  
To: STIC-EIC3600  
Subject: Database Search Request, Serial Number: 09/935,257

Requester: NGA NGUYEN (P/3692)  
Art Unit: GROUP ART UNIT 3692  
Employee Number: 76428  
Office Location: KNX 05A89  
Phone Number: (571)272-6796  
Mailbox Number:

Case serial number: 09/935,257  
Class / Subclass(es): 705/37  
Earliest Priority Filing Date: 8/22/2000  
Format preferred for results: Paper  
Attachments: No attachment.  
Search Topic Information:

A computer-implemented method for trading financial products, the method comprising: in a first communication channel, streaming indicative data including offering data for a plurality of different financial products from a server to a trading terminal; in a second communication channel logically separate from the first communication channel, receiving execution data at the server from the trading terminal, wherein the execution data includes a request for offer details relating to a first one of the plurality of financial products, the request comprising a user-specified constraint identifying a desired characteristic of the first financial product; determining offering information for the first product based on the user-specified constraint; and in the second communication channel, transmitting execution data including information relating to the specific product to the trading terminal.

Special Instructions and Other Comments:



9/17/2007

[File 350] **Derwent WPIX** 1963-2007/UD=200761

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*\*File 350: DWPI has been enhanced to extend content and functionality of the database. For more info, visit <http://www.dialog.com/dwpi/>.*

[File 347] **JAPIO** Dec 1976-2007/Jun(Updated 070926)

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[File 2] **INSPEC** 1898-2007/Sep W4

(c) 2007 Institution of Electrical Engineers. All rights reserved.

[File 35] **Dissertation Abs Online** 1861-2007/Jul

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[File 65] **Inside Conferences** 1993-2007/Sep 28

(c) 2007 BLDSC all rts. reserv. All rights reserved.

[File 99] **Wilson Appl. Sci & Tech Abs** 1983-2007/Aug

(c) 2007 The HW Wilson Co. All rights reserved.

[File 474] **New York Times Abs** 1969-2007/Sep 28

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[File 256] **TecInfoSource** 82-2007/May

(c) 2007 Info.Sources Inc. All rights reserved.

[File 475] **Wall Street Journal Abs** 1973-2007/Sep 29

(c) 2007 The New York Times. All rights reserved.

[File 583] **Gale Group Globalbase(TM)** 1986-2002/Dec 13

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*\*File 583: This file is no longer updating as of 12-13-2002.*

[File 139] **EconLit** 1969-2007/Sep

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Set	Items	Description
S1	510	S AU=(REUTER, D? OR REUTER D? OR REUTER(1N) (D OR DIERK))
S2	21	S AU=(WEN, E? OR WEN E? OR WEN(1N) (E OR EDDIE))
S3	9873333	S AUCTION? OR MULTIAUCTION OR MULTI()AUCTION OR EXCHANGE OR INTERCHANGE OR MARKET OR NETWORK OR SYSTEM OR TRADING OR MATCHING OR BIDDING OR TRANSACTION?
S4	191519	S IC=(G06F-017/60 OR G06Q-040/00)
S5	1	S S1 AND S2
S6	530	S S1 OR S2
S7	126	S S6 AND S3
S8	89607	S (E OR ELECTRONIC OR ON()LINE OR ONLINE OR INTERNET OR WEB OR REMOTE OR VIRTUAL? OR DIGITAL? OR CYBER OR AUTOMAT??) (3W) (BROKERING OR BROKING OR TRANSACT? OR EXCHANGE? OR MARKET? OR TRADE? OR TRADING OR MATCHING)

S9	2	S S7 AND S8
S10	1	S S9 NOT S5
S11	2	S S5 OR S10

11/5/1 (Item 1 from file: 350) [Links](#)

Derwent WPIX

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0012882226 *Drawing available*

WPI Acc no: 2002-741553/200280

XRPX Acc No: N2002-584243

**System providing access to a financial service provider over a network receives price requests from a user and a price from a provider and completes a transaction on request of the user**

Patent Assignee: GOLDMAN SACHS & CO (GOLD-N); MENNA L (MENN-I); REUTER D (REUT-I)

Inventor: MENNA L; **REUTER D**

Patent Family ( 6 patents, 99 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2002088906	A2	20021107	WO 2002US13813	A	20020430	200280	B
US 20030126063	A1	20030703	US 2001287435	P	20010430	200345	E
			US 2002135326	A	20020430		
EP 1393224	A2	20040303	EP 2002734128	A	20020430	200417	E
			WO 2002US13813	A	20020430		
AU 2002305317	A1	20021111	AU 2002305317	A	20020430	200433	E
JP 2004528654	W	20040916	JP 2002586141	A	20020430	200461	E
			WO 2002US13813	A	20020430		
AU 2002305317	A8	20051013	AU 2002305317	A	20020430	200611	E

Priority Applications (no., kind, date): US 2002135326 A 20020430; US 2001287435 P 20010430

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes	
WO 2002088906	A2	EN	38	4		
National Designated States,Original	AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW					
Regional Designated States,Original	AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW					
US 20030126063	A1	EN			Related to Provisional	US 2001287435
EP 1393224	A2	EN			PCT Application	WO 2002US13813
					Based on OPI patent	WO 2002088906
Regional Designated States,Original	AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI TR					
AU 2002305317	A1	EN			Based on OPI patent	WO 2002088906
JP 2004528654	W	JA	70		PCT Application	WO 2002US13813

				Based on OPI patent	WO 2002088906
AU 2002305317	A8	EN		Based on OPI patent	WO 2002088906

# Alerting Abstract WO A2

NOVELTY - A messaging protocol is used in which a user (18) requests a price for a specified **transaction** and the **system** has a server (10) which obtains a price for that specified **transaction** from a financial service provider. The price is sent to the user together with a **transaction** ID and the user may request a trade in a message including the **transaction** ID. The financial service provider then approves the **transaction** and the user is sent a message indicating this. Then the user may send a message containing the **transaction** ID authorizing the **transaction** which is then executed.

DESCRIPTION - An INDEPENDENT CLAIM is included for a method of providing access to a financial service provider.

USE - Providing financial **transactions** such as foreign **exchange** over a **network** such as the Internet.

ADVANTAGE - Provides easy access to a financial service provider with only minimal processing required at the user's station.

DESCRIPTION OF DRAWINGS - Figure 1 shows the **system**.

18 User

10 Server

**Title Terms /Index Terms/Additional Words: SYSTEM; ACCESS; FINANCIAL; SERVICE; NETWORK; RECEIVE; PRICE; REQUEST; USER; COMPLETE; TRANSACTION**

## Class Codes

### International Patent Classification

IPC	Class Level	Scope	Position	Status	Version Date
G06F; G06F-017/60			Main		"Version 7"

US Classification, Issued: 705037000

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-N01A2A; T01-N02B1B

11/5/2 (Item 2 from file: 350) [Links](#)

Derwent WPIX

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0012395912 *Drawing available*

WPI Acc no: 2002-339608/200237

XRPX Acc No: N2002-267052

**Internet financial products trading by using time, value date and strike price constraints by use specification**

Patent Assignee: GOLDMAN SACHS & CO (GOLD-N); REUTER D (REUT-I); WEN E (WENE-I)  
Inventor: **REUTER D; WEN E**

Patent Family ( 6 patents, 96 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2002017193	A1	20020228	WO 2001US26154	A	20010822	200237	B
US 20020049666	A1	20020425	US 2000226843	P	20000822	200237	E
			US 2001935257	A	20010822		
AU 200186606	A	20020304	AU 200186606	A	20010822	200247	E
EP 1323095	A1	20030702	EP 2001966063	A	20010822	200344	E
			WO 2001US26154	A	20010822		
JP 2005506586	W	20050303	WO 2001US26154	A	20010822	200517	E
			JP 2002521812	A	20010822		
AU 2001286606	A8	20051013	AU 2001286606	A	20010822	200611	E

Priority Applications (no., kind, date): US 2001935257 A 20010822; US 2000226843 P 20000822

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes	
WO 2002017193	A1	EN	17	4		
National Designated States,Original	AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW					
Regional Designated States,Original	AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW					
US 20020049666	A1	EN			Related to Provisional	US 2000226843
AU 200186606	A	EN			Based on OPI patent	WO 2002017193
EP 1323095	A1	EN			PCT Application	WO 2001US26154
					Based on OPI patent	WO 2002017193
Regional Designated States,Original	AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI TR					
JP 2005506586	W	JA	53		PCT Application	WO 2001US26154
					Based on OPI patent	WO 2002017193
AU 2001286606	A8	EN			Based on OPI patent	WO 2002017193

**Alerting Abstract WO A1**

NOVELTY - Method consists in streaming financial products offer data from a server to a trading terminal over one channel, and in a second channel receiving the offer details request relating to a financial product with a user-specified constraint. Offering information is then offered and the specific product information is transmitted

over a second channel. The offering data is an aggregate of market data from over-the-counter financial products dealers and the market data is aggregated at the server.

DESCRIPTION - The products are e.g. even currency swaps, straddles, derivatives, options etc. and the offering date comprises a value date and price.

INDEPENDENT CLAIMS are included for

1. a computer system for providing financial product offerings over the Internet,
2. a financial products offering data computer program

USE - Method is for trading financial products over the Internet.

ADVANTAGE - Method enables the streaming rate to be adjusted.

DESCRIPTION OF DRAWINGS - The figure shows a financial products trading system architecture.

**Title Terms /Index Terms/Additional Words:** FINANCIAL; PRODUCT; TRADE; TIME; VALUE; DATE ; STRIKE; PRICE; CONSTRAIN; SPECIFICATION

#### Class Codes

International Patent Classification					
IPC	Class Level	Scope	Position	Status	Version Date
G06F-017/60			Main		"Version 7"

US Classification, Issued: 705037000

File Segment: EPI;

DWPI Class: T01

Manual Codes (EPI/S-X): T01-N01A2F; T01-S03

[File 348] **EUROPEAN PATENTS 1978-2007/ 200738**

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*\*File 348: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

[File 349] **PCT FULLTEXT 1979-2007/UB=20070927UT=20070920**

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*\*File 349: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

[File 15] **ABI/Inform(R) 1971-2007/Sep 29**

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[File 16] **Gale Group PROMT(R) 1990-2007/Sep 27**

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[File 148] **Gale Group Trade & Industry DB 1976-2007/Sep 25**

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*\*File 148: The CURRENT feature is not working in File 148. See HELP NEWS148.*

[File 160] **Gale Group PROMT(R) 1972-1989**

(c) 1999 The Gale Group. All rights reserved.

[File 275] **Gale Group Computer DB(TM) 1983-2007/Sep 24**

(c) 2007 The Gale Group. All rights reserved.

[File 621] **Gale Group New Prod. Annou.(R) 1985-2007/Sep 24**

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[File 9] **Business & Industry(R) Jul/1994-2007/Sep 24**

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[File 20] **Dialog Global Reporter 1997-2007/Oct 01**

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[File 476] **Financial Times Fulltext 1982-2007/Sep 30**

(c) 2007 Financial Times Ltd. All rights reserved.

[File 610] **Business Wire 1999-2007/Oct 01**

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*\*File 610: File 610 now contains data from 3/99 forward. Archive data (1986-2/99) is available in File 810.*

[File 613] **PR Newswire 1999-2007/Oct 01**

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*\*File 613: File 613 now contains data from 5/99 forward. Archive data (1987-4/99) is available in File 813.*

[File 624] **McGraw-Hill Publications 1985-2007/Oct 01**

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*\*File 624: Homeland Security & Defense and 9 Platt energy journals added Please see HELP NEWS624 for more*

[File 636] **Gale Group Newsletter DB(TM)** 1987-2007/Sep 24

(c) 2007 The Gale Group. All rights reserved.

[File 634] **San Jose Mercury** Jun 1985-2007/Sep 28

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[File 810] **Business Wire** 1986-1999/Feb 28

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[File 813] **PR Newswire** 1987-1999/Apr 30

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[File 625] **American Banker Publications** 1981-2007/Sep 26

(c) 2007 American Banker. All rights reserved.

[File 268] **Banking Info Source** 1981-2007/Sep W2

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[File 626] **Bond Buyer Full Text** 1981-2007/Sep 27

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[File 267] **Finance & Banking Newsletters** 2007/Sep 24

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Set	Items	Description
S1	62	S AU=(REUTER, D? OR REUTER D? OR REUTER(1N) (D. OR DIERK))
S2	6	S AU=(WEN, E? OR WEN E? OR WEN(1N) (E OR EDDIE))
S3	28807	S IC=(G06F-017/60 OR G06Q-040/00)
S4	2	S S1 AND S2
S5	2	S S4 FROM 348, 349
S6	2	IDPAT (sorted in duplicate/non-duplicate order)
S7	2	IDPAT (primary/non-duplicate records only)
S8	66	S S1 OR S2
S9	4	S (E OR ELECTRONIC OR ON()LINE OR ONLINE OR INTERNET OR WEB OR REMOTE OR VIRTUAL? OR DIGITAL? OR CYBER OR AUTOMAT??) (3W) (BROKERING OR BROKING OR TRANSACT? OR EXCHANGE? OR MARKET? OR TRADE? OR TRADING OR MATCHING)
S10	3	S S9 NOT S7
S11	3	S S10 FROM 348, 349
S12	3	IDPAT (sorted in duplicate/non-duplicate order)
S13	3	IDPAT (primary/non-duplicate records only)
S14	5	S S13 OR S7

14/5K/1 (Item 1 from file: 348) [Links](#)  
EUROPEAN PATENTS  
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01422311  
**FOREIGN EXCHANGE TRADING SYSTEM**  
**DEVISENHANDELSSYSTEM**  
**SYSTEME DE COMMERCE DES DEVISES**

**Patent Assignee:**

- **Goldman, Sachs & Co.**; (4014300)  
One New York Plaza; New York, NY 10004; (US)  
(Applicant designated States: all)

**Inventor:**

- **REUTER, Dierk**  
60 East 8th Street, 17B; New York, 10003; (US)
- **WEN, Eddie**  
225 West 83rd Street, 12G., New York 10024; (US)
- **REUTER, Dierk**  
... ..US); ;
- **WEN, Eddie**  
;;

**Legal Representative:**

- **Cabinet Hirsch (101611)**  
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	Country	Number	Kind	Date	
Patent	EP	1323095	A1	20030702	(Basic)
	WO	2002017193		20020228	
Application	EP	2001966063		20010822	
	WO	2001US26154		20010822	
Priorities	US	226843	P	20000822	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE; TR;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60CITED PATENTS: (WO A)**

US 6278982 B1; US 5905974 A ; US 6058417 A ;

**NOTE:** No A-document published by EPO

Type	Pub. Date	Kind	Text
Application:	20020424	A1	International application. (Art. 158(1))
Application:	20020424	A1	International application entering European phase
Application:	20030702	A1	Published application with search report
Examination:	20030702	A1	Date of request for examination: 20030324
Search Report:	20050928	A1	Date of drawing up and dispatch of supplementary:search report 20050811
Change:	20070808	A1	Title of invention (German) changed: 20070808
Change:	20070808	A1	Title of invention (English) changed: 20070808
Change:	20070808	A1	Title of invention (French) changed: 20070808

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
Total Word Count (Document A)			
Total Word Count (Document B)			
Total Word Count (All Documents)			

14/5K/2 (Item 2 from file: 348) [Links](#)

EUROPEAN PATENTS

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01403222

**Method and apparatus for determining the reception quality of digital broadcast programmes**

Verfahren und Gerat zur Erfassung der Empfangsqualitat von digitalen Rundfunkprogrammen

Methode et appareil pour determiner la qualite de reception de programmes de radiodiffusion numerique

**Patent Assignee:**

- **Command Audio Corporation;** (2403593)  
101 Redwood Shores Parkway, Suite 100; Redwood City, CA 94065; (US)  
(Proprietor designated states: all)

**Inventor:**

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229 Corte Madera Road; Portola Valley, CA 94025; (US)
- **Martinez, Orlando**  
801 Baker Street, Apt.17; San Francisco, CA 94115; (US)
- **Costello, Edward**

- **Voichick, Jonathan**  
1614 Monte Diablo Avenue; San Mateo, CA 94401; (US)
- **Wen, Eric X.**  
3787 Angus Way; Pleasanton, CA 94588; (US)
- **LINDEN, Thomas M.**  
20420 Old Santa Cruz Highway; Los Gatos, CA 95030; (US)

**Legal Representative:**

- **Freeman, Jacqueline Carol (72181)**  
W.P. THOMPSON & CO. 55 Drury Lane; London WC2B 5SQ; (GB)

	Country	Number	Kind	Date	
Patent	EP	1187378	A2	20020313	(Basic)
	EP	1187378	A3	20020911	
	EP	1187378	B1	20041006	
	EP	1187378	B1	20041006	
Application	EP	2001306214		20010719	
Priorities	US	630037		20000801	

**Designated States:**

DE; FR; GB; IT; NL;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): H04H-001/00CITED PATENTS: (EP B)**

US 5483690 A; US 5584051 A; **Abstract** EP 1187378 A2

Broadcast programs, e.g., for an audio information program, are divided into one or more segments and are broadcast to a receiver in packet format. The receiver captures the transmitted packets and reassembles the segments and the program for storage and subsequent output to the user. Segment quality of service is evaluated prior to output by ensuring that a minimum percent of packets per segment are usable, and by ensuring that no more than a maximum number of consecutive packets in the segment are unusable. Program quality of service is evaluated by ensuring that a minimum percent of segments per program are usable, and by determining if the first and/or last segment is usable. Different quality of service parameters are specified for particular programs. New quality of service parameters for particular programs are transmitted to the receiver.

**Abstract Word Count: 137**

**NOTE: 1**

**NOTE: Figure number on first page: 1**

Type	Pub. Date	Kind	Text
Application:	20020313	A2	Published application without search report
Examination:	20020313	A2	Date of request for examination: 20010905
Search Report:	20020911	A3	Separate publication of the search report

Examination:	20030319	A2	Date of dispatch of the first examination report: 20030130
Change:	20040915	A2	Inventor information changed: 20040726
Grant:	20041006	B1	Granted patent
Change:	20040915	A2	Inventor information changed: 20040726
Grant:	20041006	B1	Granted patent
Oppn None:	20050928	B1	No opposition filed: 20050707
Change:	20070905	B1	Title of invention (German) changed: 20070905
Change:	20070905	B1	Title of invention (English) changed: 20070905
Change:	20070905	B1	Title of invention (French) changed: 20070905

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200211	729
SPEC A	(English)	200211	10566
CLAIMS B	(English)	200441	903
CLAIMS B	(German)	200441	936
CLAIMS B	(French)	200441	960
SPEC B	(English)	200441	10850
Total Word Count (Document A) 11297			
Total Word Count (Document B) 13649			
Total Word Count (All Documents) 24946			

**Specification:** ...106. Information stored in database 104 includes entertainment programs (e.g., news, sports, music), data (e.g., stock **market** data), software upgrades for the receiver, and system operating parameters (e.g., activation/deactivation codes...

**Specification:** ...106. Information stored in database 104 includes entertainment programs (e.g., news, sports, music), data (e.g., stock **market** data), software upgrades for the receiver, and system operating parameters (e.g., activation/deactivation codes...

14/5K/3 (Item 1 from file: 349) [Links](#)

PCT FULLTEXT

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00955856

**UNIVERSAL INTERFACE TO A FINANCIAL TRADING SYSTEM**

INTERFACE UNIVERSELLE POUR UN SYSTEME D'ECHANGES FINANCIERS

**Patent Applicant/Patent Assignee:**

- **GOLDMAN SACHS & CO;** One New York Plaza, New York, NY 10004

US; US(Residence); US(Nationality)

**Legal Representative:**

• **MAHON James V(agent)**

Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, NY 10166; US;

	Country	Number	Kind	Date
Patent	WO	200288906	A2-A3	20021107
Application	WO	2002US13813		20020430
Priorities	US	2001287435		20010430

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LU; MC; NL; PT; SE; TR;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GQ; GW;  
ML; MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;  
UG; ZM; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Main International Patent Classes (Version 7):**

IPC	Level
G06F-017/60	Main

Publication Language: English

Filing Language: English

Fulltext word count: 8251

**English Abstract:**

A method and system for providing **remote** access to **trade** functionality at a financial service provider (10) is disclosed. A messaging protocol is provided which allows a party remote (16) from the provider (14) to price and enter into transactions with the provider. The messaging protocol is well suited for use in stateless communication networks (12), such as the Internet, and requires only minimal support functionality at the remote site to implement, thus making the system easy to use by a wide variety of types of remote systems.

**English Abstract:**

A method and system for providing **remote** access to **trade** functionality at a financial service provider (10) is disclosed. A messaging protocol is provided which...

**French Abstract:**

La presente invention concerne un procede et un systeme qui assurent un acces a distance a une fonctionnalite d'echange au niveau d'un fournisseur de services financiers. Un protocole de messagerie permet a une personne eloignee du fournisseur de proposer un prix et d'entrer en transaction avec le fournisseur. Le protocole de messagerie est tout a fait adapte pour etre utilise dans des reseaux de communication publics internationaux (hors Etat), tels que l'Internet et ne necessite pour la mise en oeuvre qu'une fonctionnalite de support minimal au niveau du site eloigne, ce qui rend le systeme facile a utiliser par une grande diversite de types de systemes eloignes.

Type	Pub. Date	Kind	Text
Publication	20021107	A2	Without international search report and to be republished upon receipt of that report.
Search Rpt	20030530		Late publication of international search report
Republication	20030530	A3	With international search report.
Republication	20030530	A3	Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.
Examination	20030814		Request for preliminary examination prior to end of 19th month from priority date

#### Detailed Description:

...as currency exchanges, electronically. This "electronic liquidity" can be needed for several reasons. For example, **electronic currency exchange** services may be required to allow the institutional investor to provide goods and services on...is

6

configured to minimize the amount of processing that must be performed by the **remote** site accessing the **trading** interface server. As a result, functionality to allow access to the trading interface server can...at remote site. The protocol is well suited for stateless communication networks, such as the **Internet**, since the **trade** pricing and traction requests follow a predefined sequence and messages related to the same transaction...

14/5K/4 (Item 2 from file: 349) [Links](#)

PCT FULLTEXT

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00883047

**FOREIGN EXCHANGE TRADING SYSTEM**  
**SYSTEME DE COMMERCE DES DEVISES**

#### Patent Applicant/Patent Assignee:

- **GOLDMAN SACHS & CO**; One New York Plaza, New York, NY 10004  
US; US(Residence); US(Nationality)

#### Legal Representative:

- **MAHON James(agent)**

Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, NY 10166; US;

	Country	Number	Kind	Date
Patent	WO	200217193	A1	20020228
Application	WO	2001US26154		20010822
Priorities	US	2000226843		20000822

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[EP] AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LU; MC; NL; PT; SE; TR;

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GQ; GW;  
ML; MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;  
UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Main International Patent Classes (Version 7):**

IPC	Level
G06F-017/60	Main

Publication Language: English

Filing Language: English

Fulltext word count: 4195

**English Abstract:**

Computer-implemented trading of financial products (100) can include using a first communication channel to stream offering data for a plurality of different financial products from a server (131) to a trading terminal (101-106). A second communication channel can be used to receive request for offers about ones of the financial products from the trading terminal (101-106). Such request can include user-specified parameters that modify or further specify characteristics of the desired products. Offers may then be determined for the product in accordance with user-specified parameters and transmitted over the second communication channel back to the trading terminal. Each communication channel can be allocated a different priority and/or different level of system processing resources to optimize the allocation of system resources based on the criticality of data on each channel.

**French Abstract:**

L'invention concerne un commerce de produits financiers (100) mis en oeuvre par ordinateur, qui consiste a utiliser un premier canal de communication pour diffuser des donnees d'offre concernant plusieurs produits financiers differents a partir d'un serveur (131) a destination d'un terminal commercial (101-106). Un deuxieme canal de communication peut etre utilise pour recevoir du terminal commercial (101-106) une demande d'offres portant sur un des produits financiers. Une telle demande inclut des parametres definis par l'utilisateur, qui modifient ou precisent



les caracteristiques des produits desires. Les offres peuvent alors etre determinees pour le produit, conformement aux parametres definis par l'usager, et transmises en retour au terminal commercial par le biais du deuxieme canal de communication. Il peut etre attribue a chaque canal de communication un ordre de priorite different et/ou un niveau de systeme de traitement des ressources different afin d'optimiser l'affectation des ressources du systeme sur la base de la criticite des donnees presentes dans chaque canal.

Type	Pub. Date	Kind	Text
Publication	20020228	A1	With international search report.
Publication	20020228	A1	Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.
Correction	20020704		Corrections of entry in Section 1:
Republication	20020704	A1	With international search report.
Correction	20020704		Corrections of entry in Section 1:
Examination	20021031		Request for preliminary examination prior to end of 19th month from priority date
Correction	20030320		Corrected version of Pamphlet:
Republication	20030320	A1	With international search report.

14/5K/5 (Item 3 from file: 349) [Links](#)

PCT FULLTEXT

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00881307

**QUALITY OF SERVICE METHOD AND APPARATUS FOR RECEIVED PROGRAMS**

**QUALITE DE SERVICE ET DISPOSITIF DE RECEPTION D'EMISSIONS**

**Patent Applicant/Patent Assignee:**

- **COMMAND AUDIO CORPORATION**; 101 Redwood Shores Parkway, Suite 100, Redwood City, CA 94065 US; US(Residence); US(Nationality)

**Legal Representative:**

- **ALLENBY Christopher B(et al)(agent)**  
Skjerven Morrill Macpherson LLP, 25 Metro Drive, Suite 700, San Jose, CA 95110; US;

	Country	Number	Kind	Date
Patent	WO	200215448	A1	20020221
Application	WO	2001US24188		20010731
Priorities	US	2000630037		20000801

**Designated States:** (All protection types applied unless otherwise stated - for applications 2004+)

[OA] BF; BJ; CF; CG; CI; CM; GA; GN; GQ; GW;  
ML; MR; NE; SN; TD; TG;

[AP] GH; GM; KE; LS; MW; MZ; SD; SL; SZ; TZ;  
UG; ZW;

[EA] AM; AZ; BY; KG; KZ; MD; RU; TJ; TM;

**Main International Patent Classes (Version 7):**

IPC	Level
H04H-001/00	Main
H04B-017/00	

Publication Language: English

Filing Language: English

Fulltext word count: 12058

**English Abstract:**

Broadcast programs, e.g., for an audio information program, are divided into one or more segments and are broadcast to a receiver (116) in packet format. The receiver captures the transmitted packets and reassembles the segments and the program for storage and subsequent output to the user (226). Segment quality of service is evaluated prior to output by ensuring that a minimum percent of packets per segment are usable, and by ensuring that no more than a maximum number of consecutive packets in the segment are unusable. Program quality of service is evaluated by ensuring that a minimum percent of segments per program are usable, and by determining if the first and/or last segment is usable. Different quality of service parameters are specified for particular programs. New quality of service parameters for particular programs are transmitted to the receiver.

**French Abstract:**

Des emissions diffusees, p. ex. emission d'informations audio, sont divisees en un ou plusieurs segments qui sont diffuses vers un recepteur (116) dans un format de paquet. Le recepteur saisit les paquets transmis et reassemble les segments et l'emission en vue de les stocker et de les produire ulterieurement a l'intention de l'utilisateur (226). La qualite de service des segments est evaluee avant leur production de facon a garantir qu'un pourcentage minimum de paquets par segment soit utilisable, et que le nombre de paquets consecutifs inutilisables du segment ne depasse pas un nombre maximal. La qualite de service de l'emission est evaluee de facon a garantir qu'un pourcentage minimum de segments par emission soit utilisable, et a determiner si le premier et/ou le dernier segment est utilisable. Differents parametres de qualite de service sont specifies pour des emissions particulieres. Les nouveaux parametres de qualite de service d'emissions particulieres sont transmis au recepteur.

Type	Pub. Date	Kind	Text
Publication	20020221	A1	With international search report.
Examination	20020906		Request for preliminary examination prior to end of 19th month from priority date

**Detailed Description:**

...106. Information

stored in database 104 includes entertainment programs  
(e.g., news, sports, music), data (e.g., stock market data),

software upgrades for the receiver, and system operating parameters (e.g., activation/deactivation codes...

[File 350] **Derwent WPIX** 1963-2007/UD=200761

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*\*File 350: DWPI has been enhanced to extend content and functionality of the database. For more info, visit <http://www.dialog.com/dwpi/>.*

[File 347] **JAPIO** Dec 1976-2007/Jun(Updated 070926)

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[File 2] **INSPEC** 1898-2007/Sep W4

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[File 35] **Dissertation Abs Online** 1861-2007/Jul

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[File 65] **Inside Conferences** 1993-2007/Sep 28

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[File 99] **Wilson Appl. Sci & Tech Abs** 1983-2007/Aug

(c) 2007 The HW Wilson Co. All rights reserved.

[File 474] **New York Times Abs** 1969-2007/Sep 28

(c) 2007 The New York Times. All rights reserved.

[File 256] **TecInfoSource** 82-2007/May

(c) 2007 Info.Sources Inc. All rights reserved.

[File 475] **Wall Street Journal Abs** 1973-2007/Sep 29

(c) 2007 The New York Times. All rights reserved.

[File 583] **Gale Group Globalbase(TM)** 1986-2002/Dec 13

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*\*File 583: This file is no longer updating as of 12-13-2002.*

[File 139] **EconLit** 1969-2007/Sep

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; d s

Set	Items	Description
S1	114855	S (E OR ELECTRONIC OR ON()LINE OR ONLINE OR INTERNET OR WEB OR REMOTE OR VIRTUAL? OR DIGITAL? OR AUTOMAT?? OR COMPUTER?) (3W) (BROKERING OR BROKING OR TRANSACT? OR EXCHANGE? OR MARKET? OR TRADE? OR TRADING OR MATCHING)
S2	526032	S (TWO OR 2 OR SECOND OR COUPLE OR PAIR?? OR DUAL OR DUO OR DOUBLE OR AT()LEAST OR MORE()THAN OR PLURALITY OR BINAL OR COUPLE? OR TWIN OR MATCH??? OR MULTI) (3W) (CHANNEL? OR STREAM??? OR NETWORK? ? OR SYSTEM? ? OR SEVER? ? OR PIPELINE OR BROADBAND OR CONNECTION? ? OR CARRIER? ? OR CONDUIT? ? OR PIPE? ? OR FEED? ?)
S3	336032	S (SEPARATE OR INDEPENDENT OR EXCLUSIVE OR AUTONOMOUS OR INDIVIDUAL OR DIFFERENT OR PARTITIONED OR ISOLATED OR DISCRETE OR DISTINCT) (2N) (CHANNEL? OR STREAM??? OR NETWORK? ? OR SYSTEM? ? OR SEVER OR PIPELINE OR BROADBAND OR CONNECTION? ? OR CARRIER? ? OR CONDUIT? ? OR PIPE? ? OR FEED? ?)

S4	8822730	S INFORMATION OR DATA OR DETAILS OR PARTICULARS OR SPECIFICS OR INFO OR FACTS OR RESEARCH
S5	54520	S FOREIGN() EXCHANGE? ? OR FX OR FOREX OR OVER(1W) COUNTER OR OTC
S6	4395	S MULTI() BANK OR MULTIBANK OR INTERBANK OR INTER() BANK
S7	191519	S IC=(G06F-017/60 OR G06Q-040/00)
S8	1313	S S1 (20N) (S2 OR S3)
S9	351	S S8 (10N) S4
S10	224	S S9 AND (S5 OR S6 OR EXCHANGE? OR TRADING OR TRADE? OR BROKING OR BROKERING)
S11	164	S S10 FROM 350, 347
S12	90	S S11 NOT AD>20000822
S13	90	IDPAT (sorted in duplicate/non-duplicate order)
S14	89	IDPAT (primary/non-duplicate records only)
S15	3	S S14 AND S7
S16	60	S S10 NOT S11
S17	50	S S16 NOT PY>2000
S18	49	RD (unique items)
S19	52	S S15 OR S18

19/5/2 (Item 2 from file: 350) Links  
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0008513248 *Drawing available*  
WPI Acc no: 1998-044656/199805  
XRPX Acc No: N1998-035706

**Transaction management method e.g. for data communication network - bifurcating on-line information transaction between generalised information access portion and exchange of sensitive user information**

Patent Assignee: AT & T CORP (AMTT)  
Inventor: HARWOOD J P; KIMMETH T; NUSBAUM K

Patent Family ( 7 patents, 18 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
EP 814589	A2	19971229	EP 1997109792	A	19970616	199805	B
CA 2204058	A	19971219	CA 2204058	A	19970430	199825	E
US 6058250	A	20000502	US 1996667524	A	19960619	200029	E
CA 2204058	C	20001212	CA 2204058	A	19970430	200103	E
EP 814589	B1	20040825	EP 1997109792	A	19970616	200456	E
DE 69730382	E	20040930	DE 69730382	A	19970616	200465	E
			EP 1997109792	A	19970616		
DE 69730382	T2	20050908	DE 69730382	A	19970616	200559	E
			EP 1997109792	A	19970616		

Priority Applications (no., kind, date): EP 1997109792 A 19970616; US 1996667524 A 19960619

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes	
EP 814589	A2	EN	19	7		
Regional Designated States,Original	AT BE CH DE DK ES FR GB GR IE IT LI LU MC NL PT SE					
CA 2204058	A	EN				
CA 2204058	C	EN				
EP 814589	B1	EN				
Regional Designated States,Original	DE FR GB					
DE 69730382	E	DE			Application	EP 1997109792
					Based on OPI patent	EP 814589
DE 69730382	T2	DE			Application	EP 1997109792
					Based on OPI patent	EP 814589

#### Alerting Abstract EP A2

The method involves establishing an initial communications path via a connection between a terminal device and a serving node in data network. Information is received from a serving node in the data network to effect a reconfiguration of the communications path for a transaction from the

connection in the data network to a second connection in a second data network. The terminal device is automatically connected to a serving node in the second data network via the second connection. An initial communications path is established via a connection between the terminal device and a serving node in a data network.

An information item is selected from a data base of the information items provided at the serving node in the first data network. The selected information items are downloaded to the terminal device via the connection. Information is received from the serving node in the first data network to effect a reconfiguration of the communications path for the transaction from the first connection in the first data network to a second connection in a second data network. The terminal device is automatically connected to a serving node in the second data network via the second connection.

ADVANTAGE - Provides acceptable level of security for sensitive or proprietary information associated with information transactions in public network.

**Title Terms /Index Terms/Additional Words:** TRANSACTION; MANAGEMENT; METHOD; DATA; COMMUNICATE; NETWORK; BIFURCATE; LINE; INFORMATION; GENERAL; ACCESS; PORTION; **EXCHANGE**; SENSITIVE; USER

#### Class Codes

##### International Patent Classification

IPC	Class Level	Scope	Position	Status	Version Date
G06F-015/17; H04B-001/76; H04L-012/12; H04L-029/06			Main		"Version 7"
G06F-013/14; <b>G06F-017/60</b> ; G07F-019/00; H04L-012/22			Secondary		"Version 7"

US Classification, Issued: 395200570, 705026000

File Segment: EPI;

DWPI Class: T01; W01

Manual Codes (EPI/S-X): T01-H07C5A; T01-H07C5E; W01-A06B7; W01-A06E2A; W01-A06F; W01-A06G3; W01-C02D

19/5/3 (Item 3 from file: 350) [Links](#)

Derwent WPIX

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0005579974 *Drawing available*

WPI Acc no: 1991-187049/199126

XRPX Acc No: N1991-143365

**Integrated trading system for automatic matching of buyers and sellers - uses integrated key-stations, selectively connectable to match negotiated video deals in single system**

Patent Assignee: REUTERS LTD (REUT-N)

Inventor: CHRISTOPHER; JOHN; ORDISH C J; RICHARDS J M

Patent Family ( 5 patents, 4 countries )

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
EP 434224	A	19910626	EP 1990312712	A	19901122	199126	B
EP 434224	A3	19920115	EP 1990312712	A	19901122	199321	E
EP 434224	B1	19990407	EP 1990312712	A	19901122	199918	E
DE 69033041	E	19990512	DE 69033041	A	19901122	199925	E
			EP 1990312712	A	19901122		
JP 2000172761	A	20000623	JP 199176717	A	19910315	200036	NCE
			JP 200026156	A	19910315		

Priority Applications (no., kind, date): US 1989440971 A 19891122; US 1989441156 A 19891122;  
JP 200026156 A 19910315

#### Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes	
EP 434224	A	EN				
Regional Designated States,Original	CH DE FR GB LI					
EP 434224	A3	EN				
EP 434224	B1	EN				
Regional Designated States,Original	CH DE FR GB LI					
DE 69033041	E	DE			Application	EP 1990312712
					Based on OPI patent	EP 434224
JP 2000172761	A	JA	53		Division of application	JP 199176717

#### Alerting Abstract EP A

The system includes integrated key stations (202,204, 206,208) selectively connectable. Each of the stations includes a data input device, e.g. a keyboard (240), a mouse (242) and an integrated screen display (238). The keyboard and display are shared for both the automatic matching trades effectuated by the key station through a matching network (220) and the video conversational negotiated trades key station through a separate conversation network (218). An integrated terminal controller (214,216) is provided as a common interface between the key stations and the separate networks (218,220).

Transaction data is provided between given key stations in the system (200) relating to both automatic matching transactions and video conversational negotiated trading transactions through the common integrated terminal controller (214,216) which interfaces with the separate communication paths associated with the automatic matching trades (220) and the video conversational negotiated trades (218) effectuated by the key station.

ADVANTAGE - Flexible and efficient. @(67pp Dwg.No.1/36)@

**Title Terms /Index Terms/Additional Words:** INTEGRATE; TRADE; SYSTEM; AUTOMATIC; MATCH; BUY; KEY; STATION; SELECT; CONNECT; NEGOTIATE; VIDEO; DEAL; SINGLE

#### Class Codes

##### International Patent Classification

IPC	Class	Scope	Position	Status	Version Date
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	Level				
<b>G06F-017/60</b>			Main		"Version 7"
G06Q-0040/00	A	I	F	R	20060101
G06Q-0040/00	A	I		R	20060101
G06Q-0040/00	C	I	F	R	20060101
G06Q-0040/00	C	I		R	20060101

File Segment: EPI;  
DWPI Class: T01  
Manual Codes (EPI/S-X): T01-J05A

19/5/8 (Item 5 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)  
INSPEC

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06613124 **INSPEC Abstract Number:** B9708-6120B-011

**Title:** Digital coding via chaotic systems

**Author** Stojanovski, T.; Kocarev, L.; Parlitz, U.

**Author Affiliation:** Dept. of Electr. Eng., Sv. Kiril i Metodij Univ., Skopje, Macedonia

**Journal:** IEEE Transactions on Circuits and Systems I: Fundamental Theory and Applications  
vol.44, no.6 p. 562-5

**Publisher:** IEEE,

**Publication Date:** June 1997 **Country of Publication:** USA

**CODEN:** ITCAEX **ISSN:** 1057-7122

**SICI:** 1057-7122(199706)44:6L:562:DCCS;1-P

**Material Identity Number:** O940-97006

**U.S. Copyright Clearance Center Code:** 1057-7122/97/\$10.00

**Document Number:** S1057-7122(97)03480-6

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** Theoretical (T)

**Abstract:** The concept of time-discontinuous coupling of two identical chaotic systems called sporadic coupling is addressed. The conditions for the occurrence of synchronization between two sporadically coupled chaotic systems are given. Amplitude quantization of the driving signal in addition to the sporadic coupling allows digital exchange of digital information signals between the sporadically coupled chaotic systems. ( 12 Refs)

**Subfile:** B

**Descriptors:** chaos; encoding; quantisation (signal); synchronisation

**Identifiers:** digital coding; chaotic system; time-discontinuous coupling; sporadic coupling; synchronization; amplitude quantization

**Class Codes:** B6120B (Codes)

Copyright 1997, IEE

19/5/12 (Item 9 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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05264961 **INSPEC Abstract Number:** B9212-6210L-035, C9212-6150N-006

**Title:** Efficient realisation of security services in the OSI-RM

**Author** Verschuren, J.; Govaerts, R.; Vandewalle, J.

**Author Affiliation:** Dept. EIB, TNO, Delft, Netherlands

**Conference Title:** Proceedings. International Workshop on Advanced Communications and Applications for High Speed Networks p. 155-61

**Publisher:** Siemens, Munich, Germany

**Publication Date:** 1992 **Country of Publication:** West Germany ix+459 pp.

**Conference Date:** 16-19 March 1992 **Conference Location:** Munich, Germany

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Practical (P)

**Abstract:** The ISO Reference Model for Open Systems Interconnection (OSI-RM) enables application processes (APs) on **different computer systems to exchange information**. In case sensitive **information is exchanged**, APs will intend to protect their information according to their respective security policies. In the article the assumption is made that the security policies of the APs intending to communicate are the same; they are defined by the Bell-LaPadula model. The authors investigate how the OSI-security services can help in realising a security policy defined by the Bell-LaPadula model. ( 4 Refs)

**Subfile:** B C

**Descriptors:** computer networks; network operating systems; open systems; security of data

**Identifiers:** OSI-RM; application processes; sensitive information; security policies; Bell-LaPadula model; OSI-security services

**Class Codes:** B6210L (Computer communications); C6150N (Distributed systems); C5620 (Computer networks and techniques); C6130S (Data security)

19/5/14 (Item 11 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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05101958 **INSPEC Abstract Number:** C9204-6160B-027

**Title:** The identification and resolution of semantic heterogeneity in multidatabase systems

**Author** Fang, D.; Hammer, J.; McLeod, D.

**Author Affiliation:** Dept. of Comput. Sci., Univ. of Southern California, Los Angeles, CA, USA

**Conference Title:** IMS '91 Proceedings. First International Workshop on Interoperability in Multidatabase Systems (Cat. No.91TH0372-3) p. 136-43

**Editor(s):** Kambayashi, Y.; Rusinkiewicz, M.; Sheth, A.

**Publisher:** IEEE Comput. Soc. Press, Los Alamitos, CA, USA

**Publication Date:** 1991 **Country of Publication:** USA xiii+370 pp.

**ISBN:** 0 8186 2205 9

**U.S. Copyright Clearance Center Code:** TH0372-3/91/0000/0136\$01.00

**Conference Sponsor:** IEEE; Inf. Process. Soc. Japan

**Conference Date:** 7-9 April 1991 **Conference Location:** Kyoto, Japan

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Practical (P); Theoretical (T)

**Abstract:** Several aspects are given of the **Remote-Exchange** project at USC, which focuses on the controlled sharing and **exchange of information** among **autonomous**, heterogeneous database systems. The spectrum of heterogeneity which may exist among the components in a federation of database systems is examined, and an approach to accommodating such heterogeneity is described. An overview of the **Remote-Exchange** experimental system is provided. ( 13 Refs)

**Subfile:** C

**Descriptors:** database theory; distributed databases

**Identifiers:** semantic heterogeneity; multidatabase systems; **Remote-Exchange** project; controlled sharing; heterogeneous database systems; database systems

**Class Codes:** C6160B (Distributed DBMS); C4250 (Database theory)

19/5/15 (Item 12 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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05086405 INSPEC Abstract Number: C9203-6160Z-022

**Title:** **Remote-Exchange: an approach to controlled sharing among autonomous, heterogeneous database systems**

**Author** Fang, D.; Hammer, J.; McLeod, D.; Si, A.

**Author Affiliation:** Dept. of Comput. Sci., Univ. of Southern California, Los Angeles, CA, USA

**Conference Title:** COMPCON Spring '91. Digest of Papers (Cat. No.91CH2961-1) p. 510-15

**Publisher:** IEEE Comput. Soc. Press, Los Alamitos, CA, USA

**Publication Date:** 1991 **Country of Publication:** USA xiv+599 pp.

ISBN: 0 8186 2134 6

**U.S. Copyright Clearance Center Code:** CH2961-1/91/0000-0510\$01.00

**Conference Sponsor:** IEEE

**Conference Date:** 25 Feb.-1 March 1991 **Conference Location:** San Francisco, CA, USA

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Practical (P)

**Abstract:** The authors describe several aspects of the **Remote-Exchange** project, which focuses on an approach and experimental system for the controlled sharing and **exchange of information** among **autonomous**, heterogeneous database systems. The spectrum of heterogeneity which may exist among the components in a federation of database systems is examined, and an approach to accommodating such heterogeneity is described. An overview of the **Remote-Exchange** experimental system is provided, including the top level architecture, sharing mechanism, and sharing advisor. ( 12 Refs)

**Subfile:** C

**Descriptors:** database management systems

**Identifiers:** controlled sharing; heterogeneous database systems; **Remote-Exchange** project; heterogeneity; top level architecture; sharing mechanism; sharing advisor

**Class Codes:** C6160Z (Other DBMS)

19/5/17 (Item 14 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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04754438 INSPEC Abstract Number: B90071723, C90072056

**Title:** ISDN with simultaneous distribution function and its applications

**Author** Shimazu, Y.; Kihara, Y.

**Author Affiliation:** NTT Commun. & Inf. Processing Labs., Tokyo, Japan

**Conference Title:** Proceedings. Pacific Telecommunications: Weaving the Technological and Social Fabric p. 587-92

**Editor(s):** Wedemeyer, D.J.; Lofstrom, M.D.

**Publisher:** Pacific Telecommun. Council, Honolulu, HI, USA

**Publication Date:** 1990 **Country of Publication:** USA viii+762 pp.

**Conference Date:** 14-17 Jan. 1990 **Conference Location:** Honolulu, HI, USA

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Applications (A); Practical (P)

**Abstract:** Digital circuit exchanges have the potential to reduce information distribution costs if they provide a multi-connection, i.e. simultaneous distribution function. This paper discusses the service forms of a network with this function, its various applications, technological issues, and its impact on information society. ( 0 Refs)

**Subfile:** B C

**Descriptors:** economic and sociologic effects; information services; ISDN

**Identifiers:** digital circuit exchanges; ISDN; information distribution costs; simultaneous distribution function; service forms; technological issues; information society

**Class Codes:** B6210M (ISDN); C7210 (Information services and centres); C0230 (Economic, social and political aspects)

19/5/18 (Item 15 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)

INSPEC

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04315231 INSPEC Abstract Number: B89018507

**Title:** A blueprint for technology development (ISDN)

**Author** Barbera, S.

**Author Affiliation:** Bell Atlantic Int., Inc., Arlington, VA, USA

**Journal:** Siemens Review vol.55, no.5 p. 4-6

**Publication Date:** Sept.-Oct. 1988 **Country of Publication:** West Germany

**CODEN:** SZTEA6 **ISSN:** 0302-2528

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** Practical (P)

**Abstract:** Dedicated lines for voice, data, and video messages are totally impractical. The author discusses how Philadelphia-based Bell Atlantic is trying to improve the situation by phasing in the integrated services digital network (ISDN). Common channel signalling (CCS), which lets local switching systems and remote databases exchange call routing information along a separate channel, will be the backbone of the system. ( 0 Refs)

**Subfile: B**

**Descriptors:** electronic switching systems; ISDN; signalling (telecommunication networks)

**Identifiers:** common channel signalling; Bell Atlantic; integrated services digital network; ISDN; CCS; local switching systems; remote databases; call routing information

**Class Codes:** B6210M (ISDN); B6230F (Integrated switching and transmission systems)

19/5/19 (Item 16 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)

INSPEC

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04244506 **INSPEC Abstract Number:** D88002871

**Title:** Leading up the VANS

**Author** Dale, P.

**Journal:** Health Service Journal vol.98, no.5119 p. 6

**Publication Date:** 22 Sept. 1988 **Country of Publication:** UK

**CODEN:** HSJOEO **ISSN:** 0300-8347

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** General, Review (G); Practical (P)

**Abstract:** While the programme of computerisation in the NHS has been successful, many of those involved are realising that improvements in efficiency gained internally are being negated by the use of slow, expensive, and often unreliable methods of external communication. It is in this area that value added network services (VANS) can help increase efficiency in the health sector. The definition of a VAN implies specifically that 'value is added' within the service to the raw data that are transmitted over a network. The best known examples of VAN services are: electronic mail, e.g. Telecom Gold, QuikComm; viewdata services, e.g. Prestel; online services, e.g. airline reservation systems; database access services; and electronic data interchange (EDI) services, e.g. Tradanet and Pharmanet. One of the most potentially beneficial VAN services in the NHS is the application of EDI. This involves the transmission of preformatted **information** between the computer **systems** of **different** organisations via a 'store and forward' service provided by a third party network, e.g. the **electronic exchange** of orders, invoices and delivery notes between **trading** partners. ( 0 Refs)

**Subfile: D**

**Descriptors:** computer networks; health care; telecommunication networks

**Identifiers:** VANS; computerisation; NHS; value added network services; electronic mail; Telecom Gold; QuikComm; viewdata services; Prestel; online services; airline reservation systems; database access services; electronic data interchange; Tradanet; Pharmanet; preformatted information; electronic **exchange** of orders; invoices; delivery notes

**Class Codes:** D2060 (Health care); D4000 (Office automation - communications); D5020 ( Networks and inter-computer communications)

^ 19/5/20 (Item 17 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)

INSPEC

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04213393 **INSPEC Abstract Number:** B88060449, C88051955

**Title:** TVNet: an image and data delivery system using cable TV facilities

**Author** Karshmer, A.I.; Phelan, J.; Thomas, J.

**Author Affiliation:** Dept. of Comput. Sci., New Mexico State Univ., Las Cruces, NM, USA

**Journal:** Computer Networks and ISDN Systems vol.15, no.2 p. 135-51

**Publication Date:** 1988 **Country of Publication:** Netherlands

**CODEN:** CNISE9 **ISSN:** 0376-5075

**U.S. Copyright Clearance Center Code:** 0376-5075/88/\$3.50

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** Applications (A); Practical (P)

**Abstract:** A networking technology is currently under development that will allow transmission of both data and analog video images between a variety of nodes connected to an ordinary local cable television system. The system has been designed to support terminal to computer, and terminal to terminal interactions as well as **computer to computer data exchanges**. **Two channels** of the cable system are used to implement the network: one upstream towards the head-end and the other downstream towards the nodes. The current paper describes the hardware and software needed to implement the protocol and the various nodes as well as the computing equipment needed to support such a system. ( 15 Refs)

**Subfile:** B C

**Descriptors:** cable television; data communication systems; telecommunications computing; television networks; television systems; video signals

**Identifiers:** image delivery system; data transmission; TVNet; TV networks; computer communications; data delivery system; cable TV facilities; networking technology; analog video images; cable television system; head-end; nodes; software; protocol; computing equipment

**Class Codes:** B6210L (Computer communications); B6430D (CATV and wired systems); C5620 (Computer networks and techniques); C7410F (Communications)

^ 19/5/25 (Item 22 from file: 2) **Links**

Fulltext available through: **USPTO Full-Text Retrieval Options**

INSPEC

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03490985 **INSPEC Abstract Number:** D85002055

**Title:** Software system automates trade order entry

**Journal:** Bank Systems & Equipment vol.22, no.5 p. 6

**Publication Date:** May 1985 **Country of Publication:** USA

**CODEN:** BSEQD6 **ISSN:** 0146-0900

**Language:** English **Document Type:** Journal Paper (JP)

**Treatment:** General, Review (G); Practical (P)

**Abstract:** Citibank's private banking and investment division has gained better control over **trade order entry** and **information** since going live with **two software systems** that support the division's securities **trading** and clearance operations. This is the first installation of the Vista **Automated Securities Trading System (VAST)** and it has been integrated with the Vista Securities Processing System (VSPS). The system developed by Vista Concepts, Inc. supplies investment officers and **traders** with real-time information on customer asset positions. The division has transmitted and executed buy and sell orders more efficiently since the installation of the new system. ( 0 Refs)

**Subfile:** D

**Descriptors:** banking; software packages

**Identifiers:** Citibank's private banking and investment division; **trade** order entry; software systems; securities **trading** and clearance operations ; Vista Automated Securities **Trading** System; Vista Securities Processing System; Vista Concepts, Inc.; investment officers; **traders**; real-time information; customer asset positions

**Class Codes:** D2050E (Banking)

19/5/27 (Item 24 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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02819459 **INSPEC Abstract Number:** B82016203, C82011809

**Title:** The application of variable data rate transmission to local area fiber optic networks

**Author** Husbands, C.R.

**Author Affiliation:** Mitre Corp., Bedford, MA, USA

**Conference Title:** 6th Conference on Local Computer Networks p. 102-7

**Publisher:** IEEE , New York, NY, USA

**Publication Date:** 1981 **Country of Publication:** USA v+111 pp.

**Conference Sponsor:** IEEE

**Conference Date:** 12-14 Oct. 1981 **Conference Location:** Minneapolis, MN, USA

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Practical (P)

**Abstract:** Initial examination of the use of fiber optics in local area network systems using contention protocol concentrated on applications supporting low data rate transmission. The development of these networks utilized low cost LSI microprocessor based terminal units. With a requirement to allow larger **computers** to **exchange data** bases over this same network, a major conflict occurred. This **dual** use of the **network** required a compromise between the terminal cost, required to support higher data rate transmission, and the time penalty imposed by transmitting the computer data bases at a low data rate. To solve this problem a variable data rate network was developed which more efficiently utilized the bandwidth capability of the fiber optic transmission medium. The author describes a demonstration system designed to support this dual data rate capability. ( 0 Refs)

**Subfile:** B C

**Descriptors:** computer networks; optical fibres; optical links; protocols

**Identifiers:** computer networks; variable data rate transmission; fiber optics; local area network systems; contention protocol; dual data rate capability

**Class Codes:** B6210L (Computer communications); C5620 (Computer networks and techniques)

19/5/28 (Item 25 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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02220994 **INSPEC Abstract Number:** B78034646

**Title:** Introduction, interfacing and signalling aspects of digital techniques in the local network

**Author** du Mosch, A.D.; Brockmann, K.D.

**Author Affiliation:** Philips Telecommunications Ind. BV, Hilversum, Netherlands

**Conference Title:** 1978 International Zurich Seminar on Digital Communications. Digital Transmission and Switching in Local Networks p. D5/1-5

**Publisher:** IEEE , New York, NY, USA

**Publication Date:** 1978 **Country of Publication:** USA 228 pp.

**Conference Sponsor:** IEEE

**Conference Date:** 7-9 March 1978 **Conference Location:** Zurich, Switzerland

**Language:** English **Document Type:** Conference Paper (PA)

**Treatment:** Practical (P)

**Abstract:** The digital subscriber line should carry two 'user channels' for speech and other end-to-end information, and two dedicated signalling channels, one for each direction of transmission. The transitory period, characterized by digital exchanges serving a mixed population of analog and digital telephones, will last long enough to make its economics important. The interface between digital switch and conventional telephone line should, amongst others, be a cheap one. An example of such an interface, in this case using 100 kHz chopper techniques to transfer DC and out-band ringing AC to the line, is described. ( 0 Refs)

**Subfile:** B

**Descriptors:** digital communication systems; signalling; telephone networks

**Identifiers:** interfacing; signalling; digital subscriber line; digital exchanges; 100 kHz chopper techniques; local digital telephone network

**Class Codes:** B6210D (Telephony); B6240 (Transmission line links and equipment)

19/5/30 (Item 27 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)

INSPEC

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01973802 **INSPEC Abstract Number:** C76028338

**Title:** How to design a network for data transmission?

**Author** Kohler, W.

**Author Affiliation:** Landesamt fur Datenverarbeitung und Statistik Nordrhein-Westfalen, Dusseldorf, West Germany

**Journal:** Elektronische Rechenanlagen vol.18, no.4 p. 161-72

**Publication Date:** Aug. 1976 **Country of Publication:** West Germany

**CODEN:** ELRAA4 **ISSN:** 0013-5720

**Language:** German **Document Type:** Journal Paper (JP)

**Treatment:** Practical (P)

**Abstract:** Designing the line configuration is mostly handled as an example for minimizing the lengths of the wires between points of input/output. The results are short wires but not short data communication paths. In this paper different nets, their advantage and disadvantage are considered using a task with well known exchange rates between the users of the nets. The daily amount of exchange is given by the annual statistic of people moving from one country to the others in the FRG. First the communication streams are analysed as if the information of moving could be sent as a message through the network, i.e. who has to exchange data with whom at what amount, and then the lines are switched. A heterogeneous network is proposed, different in line velocity, nodal load, and number of connections between each other. ( 20 Refs)

**Subfile:** C



**Descriptors:** computer networks; data communication systems

**Identifiers:** network; data transmission; **exchange** rates; heterogeneous network; line velocity; nodal load; number of connections; computer network

**Class Codes:** C5620 (Computer networks and techniques)

19/5/31 (Item 28 from file: 2) [Links](#)

Fulltext available through: [USPTO Full Text Retrieval Options](#)

INSPEC

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01746962 **INSPEC Abstract Number:** B75012775, C75009584

**Title:** The JSEP systems of remote data processing

**Author** Caka, J.

**Journal:** Mechanizace Automatizace Administrativy vol.14, no.12 p. 446-50

**Publication Date:** 1974 **Country of Publication:** Czechoslovakia

**CODEN:** MAUAAU **ISSN:** 0322-8452

**Language:** Czech **Document Type:** Journal Paper (JP)

**Treatment:** Practical (P)

**Abstract:** Outlines the principle and structure of the JSEP remote data processing. Discusses communication networks using telegraph and telephone channels with simplex, semiduplex or duplex operation and discusses networks using the **automatic** telephone **exchange** of the public communication network as well as **networks** employing **exclusive channels**. Describes **data** transmission equipment, multiplexing equipment and various types of subscriber's stations. ( 0 Refs)

**Subfile:** B C

**Descriptors:** communication networks; data processing; data transmission equipment

**Identifiers:** remote data processing; communication networks; telegraph and telephone channels; simplex, semiduplex or duplex operation; automatic telephone **exchange**; exclusive channels; data transmission equipment; multiplexing equipment; subscriber's stations

**Class Codes:** B6210Z (Other data transmission); B6230Y (Other switching centres); C5620 (Computer networks and techniques)

19/5/32 (Item 29 from file: 2) [Links](#)

Fulltext available through: [ScienceDirect](#)

INSPEC

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01079730 **INSPEC Abstract Number:** B70001763

**Title:** Applications of large scale integrated circuits to digital switching systems

**Author** Hughes, C.J.; Andrews, J.D.

**Conference Title:** Conference on integrated circuits p. 152-7

**Publisher:** Institution of Electrical Engineers , London, UK

**Publication Date:** 1967 **Country of Publication:** UK 298 pp.

**Conference Sponsor:** IEE, Electronics Div; IERE; IEEE

**Conference Date:** 2-4 May 1967 **Conference Location:** Eastbourne, UK

**Language:** English **Document Type:** Conference Paper (PA)

**Abstract:** The introduction of time-division multiplex (t.d.m.) digital transmission systems for

**multi-channel** telephony and **data** has led to a need for **digital** switching systems. Experimental **exchanges** are being developed to operate in conjunction with the 24-channel 1.536 Mbits/sec. pulse code modulation (p.c.m.) systems, which are now standard in Britain. The digital nature of the signals has allowed standard integrated circuit logic gate and toggle units to be used extensively in one of these **exchanges**. In some parts of the **exchange**, a particular pattern of logic gates is repeated many times and large scale integration (l.s.i.) techniques may be applied with advantage. In this respect, the most outstanding parts of the **exchange** are the crosspoint arrays used for switching the digital signals through the **exchange** to the required destination. The cost of the crosspoint arrays together with the circulating stores used for controlling them in time-division amounts to about 30% of the total cost of the **exchange**, so that any savings in this region can be very valuable. At a later stage, l.s.i. techniques may be introduced with advantage in other parts of the **exchange**.

**Subfile:** B

**Descriptors:** integrated circuits; large scale integration; switching systems; telephone switching equipment

**Class Codes:** B2220 (Integrated circuits); B2570 (Semiconductor integrated circuits); B6230B (Electronic telephone exchanges)

^ 19/5/36 (Item 2 from file: 256) [Links](#)

TecInfoSource

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00143507      **Document Type:** Review

**Product Names:** Microsoft BizTalk Server (781347); ACCPAC Exchange (136191)

**Title:** Making Payments Online: The market for electronic payments is just...

**Author:** Scott, Robert W

**Source:** Accounting Technology, v18 n9 p45(3) Oct 2002

ISSN: 1068-6452

**Homepage:** <http://www.electronicaccountant.com>

**File Segment:** Review

**Record Type:** Product Analysis

**Grade:** Product Analysis, No Rating

Carlton Collins, president of an accounting consultancy, agrees with an executive for Avolent that standards are needed to permit information to flow from such products as MAS 90 into rival products such as Accpac. Collins believes that Microsoft BizTalk Server may be able to implement such standards. Valenti, an executive for Avolent, says the ACH system was never meant to handle the in-depth nature of remittance data. There is no standard available that will allow documents to emerge from **different** accounting systems and match up. Accpac International, with Accpac **Exchange**, is entering the Internet-based **electronic data interchange (EDI) market**. **Exchange** is hosted through Accpac Online, and the EDI tasks are handled by IBM Business **Exchange** services, the central data event manager. Most online payment systems are available to the large companies that are served through BizCast. Avolent uses two systems by coordinating the transmission of payment information through ACH and the banks, and provides the biller with remittance information online. One vendor that promises online payment for customers of mid-market accounting software companies is Fidesic, which offers its electronic invoice and payment system through accounting software resellers.

**Company Name:** Microsoft Corp (112127); Sage Group plc (763616)

**Descriptors:** Accountants; Accounting; Communications Standards; EDI (Electronic Data Interchange); Integration Software

**Revision Date:** 20030430

19/5/37 (Item 1 from file: 583) [Links](#)  
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09333848

**International Bank of Asia operators online banking business**

**HONG KONG: ALLIANCE ON CYBERBANKING BUSINESS**

Sing Tao Daily ( XKL ) 28 Jul 2000 p.b3

**Language:** CHINESE

International Bank of Asia Ltd. has signed a 5-year contract with Computer Sciences Corporation (CSC) for the development of its Cyberbanking, **information** technology (IT), automatic phone banking service, **online** securities **trading** business. The bank has installed **two** automatic banking service **systems** "FIRSTBANK MULTIXPAC credit card system" and "KINDLE BRANCHPOWER retail banking business system". \*

**Company:** COMPUTER SCIENCES CORPORATION; INTL BANK OF ASIA

**Product:** Credit Card Services (6020CC); Nonbank Credit Card Firms (6141); Consumer Finance Institutions (6140); Securities & Commodities **Exchanges** (6230); Securities Dealers (6211); Debt & Equity Securities (E5640); Retail Banking Services (6006); Clearing Banks (6010CB);

**Event:** Companies Activities (10); Capital Expenditure (43); Use of Materials & Supplies (46); Contracts & Orders (61);

**Country:** Hong Kong (9HON);

^ 19/5/38 (Item 2 from file: 583) [Links](#)  
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09256341

**Data broadcasting slated for launch in 2002**

**SOUTH KOREA: LAUNCH OF DATA BROADCASTING IN 2002**

The Korea Herald ( XBF ) 11 Mar 2000 p.11

**Language:** ENGLISH

In a move which is expected to revolutionise television viewing in South Korea, data broadcasting is slated to be launched in the county by 2002. Data broadcasting will enable television viewers to use the television sets as a terminal for Internet access, electronic mail (e-mail), **online** stock **trading** and home banking. Besides this, **data** broadcasting will offer online shopping and a wide range of **information**. Digital broadcasting, **multi-channels** will also enable viewers to get additional **information** while viewing a programme. Data broadcasting via landlines will begin in South Korea by the first six months of 2002 while data broadcasting via satellite will be offered as early as the end of 2001.

**Company:** INTERNET  
**Event:** Product Design & Development (33);  
**Country:** South Korea (9SOK);

19/5/42 (Item 6 from file: 583) [Links](#)  
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05990320

### **MANILA, MAKATI STOCK EXCHANGES LINK TRADING**

**PHILIPPINES: 2 RIVAL STOCK EXCHANGES UNIFIED**  
Asia Computer Weekly ( XCF ) 2-8 May 1994 P. 3  
**Language:** ENGLISH

Manila Stock **Exchange** and Makati Stock **Exchange** have unified under the Philippines Stock **Exchange** (PSE). Before unification, the Manila Stock **Exchange** uses the ATS Computer **Trading** System while Makati Stock **Exchange** adopts the MakTrade Computer **Trading** System. After unification, PSE will develop and install an interface system, which consists of computer-to-computer interface modules, modifications to each **computer trading** system and telecoms links between the **2 computer trading systems**. The linkup will provide a common market **information** for the **2 systems** and 1 quotation for the best bid and offer from the operation of the market.

**Company:** PSE; PHILIPPINES STOCK EXCHANGE; MAKATI STOCK EXCHANGE;  
MANILA STOCK EXCHANGE

**Product:** Securities & Commodities **Exchanges** (6230); Securities Dealers (6211); Debt & Equity Securities (E5640);  
**Event:** General Management Services (26);  
**Country:** Philippines (9PHI);

19/5/43 (Item 7 from file: 583) [Links](#)  
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05860103

### **Survey of Foreign Exchange**

**UK: BROKING SYSTEMS SALES WAR LOOMS**  
Financial Times ( FT ) 26 May 1993 p.s6  
**Language:** ENGLISH

The major suppliers of electronic real-time price information to the **foreign exchange** market are about to engage in a huge sales war. The battle is to sell computer systems to the banks which simulate the work currently done by human brokers - and which will do that work a good deal cheaper. More than one system is coming on to the market, and the battle to sell them is set to be fierce. Reuters launched its 2000-2 dealing system in May 1992, while Minex, the Japanese firm, launched its system in April 1993. Later in 1993, a consortium bringing together the major **foreign**

exchange banks and electronic information group, Quotron, is launching an electronic matching system called **Electronic Broking Service (EBS)**. Article further discusses the topic.

**Company:** QUOTRON; REUTERS; MINEX

**Product:** Financial Service Information Providers (7375FN);

**Event:** Product Design & Development (33);

**Country:** United Kingdom (4UK);

^ 19/5/46 (Item 10 from file: 583) [Links](#)

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03596440

### **TANTUS DEALING SYSTEM LINKED TO REUTERS DEALING 2000**

#### **UK - TANTUS DEALING SYSTEM LINKED TO REUTERS DEALING 2000**

Dealing Technology Bulletin (DTB) 22 June 1990 p7-8

TANTUS Microsystems, a treasury dealing systems supplier, has cooperated with Reuters Trading Support personnel to develop an interface between its standard Treasury Dealing System (TDS) and the Reuters Dealing 2000 transactional system. The integration of the **two systems** will be tested in a **trading** environment in June/July 1990. TDS, a **computer based trading** system, captures, processes and analyses **information** on a wide range of Money Market, **Foreign Exchange** and Off-Balance Sheet instruments, and can be configured to meet particular customer requirements. Designed for use by **foreign exchange** and currency deposit dealers, Reuter's Dealing 2000-1, the first stage of Dealing 2000, adds computer enhancements to the two-way communication facilities of the existing Reuter Monitor Dealing Service. With the new system integration, deals confirmed on the Reuters Dealing 2000 will be transferred electronically in real-time to TANTUS TDS, and the TDS system will process deals captured on Reuters 2000 in the same way as any other deal.

**Product:** Financial Service Information Prods (7375FN); Computer Services (COSV);

**Event:** PRODUCTS, PROCESSES & SERVICES (30);

**Country:** United Kingdom (4UK); OECD Europe (415); NATO Countries (420); South East Asia Treaty Organisation (913);

19/5/47 (Item 11 from file: 583) [Links](#)

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03488312

### **CME AND CBOT AGREE ON MERGER OF ELECTRONIC TRADING SYSTEMS**

#### **US - CME AND CBOT AGREE ON MERGER OF ELECTRONIC TRADING SYSTEMS**

Financial Times (C) 1991 (FT) 24 May 1990 p32

The Chicago Mercantile **Exchange** (CME) and the Chicago Board of **Trade** (CBOT), futures **exchanges**, have agreed on the merger of their **separate electronic trading systems**, after one year of negotiations. Reuters (UK), **information** firm, is to develop a joint **trading** system with the

possibility to have after-hours **trading**, to start in November 1990. The new system is likely to be a combination of Reuters' Globex **trading** system and the CBOT's system, Aurora. With a 24-hour worldwide access to the Chicago market, it will become a sophisticated and powerful **trading** tool for the futures industry. Negotiations with other **exchanges**, to quote their products on the system, could start again, after talks were stopped during the CME and CBOT merger discussions. Matif (France) has already agreed to join the system.

Copyright: Financial Times Ltd 1991

**Product:** Options (6200OP); Financial Service Information Prods ( 7375FN); Computer Services (COSV);

**Event:** COMPANIES ACTIVITIES (10);

**Country:** United States (1USA); NATO Countries (420); South East Asia Treaty Organisation (913);

19/5/49 (Item 13 from file: 583) [Links](#)

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02418407

#### **CNTI LAUNCHES NETWORK DEVICE FOR IBM MAINFRAMES**

UK - CNTI LAUNCHES NETWORK DEVICE FOR IBM MAINFRAMES

Computergram International ( CGI ) 5 January 1989 p4

ISSN: 0268-716X

CNTI Computer Network Technology International has introduced a plug compatible **multi-point network** device which allows **remote** IBM mainframes to **exchange data**. The ChannelLink 5137 costs GBP52k for one channel and two serial links, GBP61.2k for **two channels**. It will give concurrent support for up to six host mainframes operating at 4.5Mbyte/s via leased Megastream lines. It will provide automatic re-routing, load balancing and network management is incorporated.

**Product:** Data Communications Equipment (3661DC); Local Area Network Equip (3661LA); Electronic Connectors (3678); Local Area Networks (4811LA);

**Event:** PRODUCTS, PROCESSES & SERVICES (30);

**Country:** United Kingdom (4UK); OECD Europe (415); NATO Countries (420); South East Asia Treaty Organisation (913);

19/5/50 (Item 14 from file: 583) [Links](#)

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01752213

#### **CINCOM AND NETLINK LAUNCH SNA DATA TRANSFER DEVICE**

UK - CINCOM AND NETLINK LAUNCH SNA DATA TRANSFER DEVICE

Computergram International ( CGI ) 16 March 1988 p4

ISSN: 0268-716X

Cincom Systems and Netlink have launched a device for sending **data** between **separate** IBM SNA

**networks.** The system comprises network management from Cincom and SNA hardware from Netlink and the companies claim that cheaper **electronic data exchange** facilities are provided. Product is available throughout the world and will be promoted in the UK by 3Net and Cincom.\*

**Product:** Data Communications Equipment (3661DC); Network Management (3661NM);  
**Event:** PRODUCTS, PROCESSES & SERVICES (30);  
**Country:** Earth - Planet (0W); United Kingdom (4UK); OECD Europe (415); NATO Countries (420); South East Asia Treaty Organisation (913 );

19/5/52 (Item 1 from file: 139) **Links**

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EconLit

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441345

**Title:** Calibrating an Algorithm for Estimating Transactions from FAFX Exchange Rate

**Quotes**

**Author:** Goodhart, Charles; Chang, Yuanchen; Payne, Richard

**Author Affiliation:** London School of Econ; Lancaster U; London School of Econ

**Journal Name:** Journal of International Money and Finance ,

**Journal Volume & Issue:** 16 6 ,

**Pages:** 921-30

**Publication Date:** 1997

**Availability:** [http://www.elsevier.com/wps/find/journaldescription.cws\\_home/30443/description#description](http://www.elsevier.com/wps/find/journaldescription.cws_home/30443/description#description)

**ISSN:** 0261-5606

**Document Type:** Journal Article

**Abstract Indicator:** Abstract

**Abstract:** In this paper, the authors investigate the efficiency of a class of transaction-generating algorithms originally suggested in T. Bollerslev and I. Domowitz (1993). Their comparison utilizes real transaction **data** recorded over Reuters D2000-2 **electronic broking system** for 7 h in June 1993 and transaction **data** generated from FAFX quotations over an identical period. Results suggest that, at this high-frequency data sampling, the performance of these transaction-generating algorithms is poor, with the most likely explanation of this outcome due to the high-frequency characteristics of FAFX spreads and quotation intensity.

**Descriptors:** Foreign Exchange (Exchange Rates; Intervention; Foreign Exchange Reserves) (F310); Exchange Rates

**Descriptors:** Exchange Rates and Markets--Theory and Studies (4314)

[File 348] EUROPEAN PATENTS 1978-2007/ 200738

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*\*File 348: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

[File 349] PCT FULLTEXT 1979-2007/UB=20070927UT=20070920

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*\*File 349: For important information about IPCR/8 and forthcoming changes to the IC= index, see HELP NEWSIPCR.*

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OR BROKING OR TRANSACTION? OR EXCHANGE? OR MARKET? OR TRADE? OR TRADING OR MATCHING OR
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COST? ? OR MARKET OR VALUE OR DATE)
S5       44653   S (EXECUT??? OR INSTRUCTION??? OR PERFORM? OR ACTION? OR ACTIVAT? OR
INITIAT??? OR (SET? ? OR SETTING) (2W) (MOTION OR UP) OR LAUNCH??? OR INITIALI?) (7N) (SERVER?
? OR TERMINAL? ? OR COMPUTER? ? OR MAINFRAME? ? OR NODE? ? OR CLIENT OR BLADE)
S6       2481    S FOREIGN()EXCHANGE? ? OR FX OR FOREX OR OVER(1W)COUNTER OR OTC
S7       383     S MULTI()BANK OR MULTIBANK OR INTERBANK OR INTER()BANK
S8       10551   S IC=(G06F-017/60 OR G06Q-040/00)
S9       3628    S S2 (10N) S3
S10      3628    S S1 AND S9
S11      851     S S10 (20N) S4
S12      52      S S11 (20N) S5
S13      14      S S12 AND (S6 OR S7)
S14      9       S S13 NOT AD>20000822
S15      9       IDPAT (sorted in duplicate/non-duplicate order)
S16      9       IDPAT (primary/non-duplicate records only)
S17      3921    S S1 (10N) S2
S18      223     S S17 (5N) S4
S19      24      S S18 AND S8
S20      22      S S19 NOT S13
S21      14      S S20 NOT AD>20000822
S22      14      IDPAT (sorted in duplicate/non-duplicate order)
S23      14      IDPAT (primary/non-duplicate records only)
S24      2396    S S1 (10N) S3
S25      223     S S18 (5N) (S4 OR S5)
S26      24      S S25 AND S8
```



S27

0 S S26 NOT (S13 OR S20)

16/5K/1 (Item 1 from file: 348) [Links](#)

EUROPEAN PATENTS

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02059858

**Systems and methods for secure transaction management and electronic rights protection**

System und Verfahren für sichere Transaktionsverwaltung und elektronischen Rechtsschutz

Systemes et procedes de gestion de transactions securisees et de protection des droits electroniques

**Patent Assignee:**

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(Applicant designated States: all)

**Inventor:**

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**Legal Representative:**

- **Garner, Jonathan Charles Stapleton et al (9222071)**  
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	Country	Number	Kind	Date	
Patent	EP	1662418	A2	20060531	(Basic)
	EP	1662418	A3	20060726	
Application	EP	2006075503		19960213	
Priorities	US	388107		19950213	

**Designated States:**

AT; BE; CH; DE; DK; ES; FR; GB; GR; IE;  
IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; SI;

**Related Parent Numbers: Patent (Application):**EP 861461 (EP 96922371)

IPC	Level	Value	Position	Status	Version	Action	Source	Office
G06F-0001/00	A	I	F	B	20060101	20060616	H	EP

#### Abstract EP 1662418 A2

The present invention provides systems and methods for electronic commerce including secure transaction management and electronic rights protection. Electronic appliances such as computers employed in accordance with the present invention help to ensure that information is accessed and used only in authorized ways, and maintain the integrity, availability, and/or confidentiality of the information. Secure subsystems used with such electronic appliances provide a distributed virtual distribution environment (VDE) that may enforce a secure chain of handling and control, for example, to control and/or meter or otherwise monitor use of electronically stored or disseminated information. Such a virtual distribution environment may be used to protect rights of various participants in electronic commerce and other electronic or electronic-facilitated transactions. Secure distributed and other operating system environments and architectures, employing, for example, secure semiconductor processing arrangements that may establish secure, protected environments at each node. These techniques may be used to support an end-to-end electronic information distribution capability that may be used, for example, utilizing the "electronic highway".

**Abstract Word Count:** 165

**NOTE:** 1

**NOTE:** Figure number on first page: 1

Type	Pub. Date	Kind	Text
Application:	20060531	A2	Published application without search report
Change:	20060726	A2	Title of invention (German) changed: 20060726
Change:	20060726	A2	Title of invention (English) changed: 20060726
Change:	20060726	A2	Title of invention (French) changed: 20060726
Search Report:	20060726	A3	Separate publication of the search report
Change:	20061227	A2	Title of invention (German) changed: 20061227
Change:	20061227	A2	Title of invention (English) changed: 20061227
Change:	20061227	A2	Title of invention (French) changed: 20061227
Change:	20070110	A2	Title of invention (German) changed: 20070110
Change:	20070110	A2	Title of invention (English) changed: 20070110
Change:	20070110	A2	Title of invention (French) changed: 20070110
Change:	20070117	A2	Title of invention (German) changed: 20070117
Change:	20070117	A2	Title of invention (English) changed: 20070117
Change:	20070117	A2	Title of invention (French) changed: 20070117
Change:	20070411	A2	Title of invention (German) changed: 20070411
Change:	20070411	A2	Title of invention (English) changed: 20070411
Change:	20070411	A2	Title of invention (French) changed: 20070411
Change:	20070711	A2	Title of invention (German) changed: 20070711
Change:	20070711	A2	Title of invention (English) changed: 20070711
Change:	20070711	A2	Title of invention (French) changed: 20070711

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200622	302
SPEC A	(English)	200622	193789
Total Word Count (Document A) 194124			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 194124			

**Specification:** ...for a wide variety of transaction management related activities. As a result, content usage control, **data** security, **information** auditing, and **electronic financial** activities, can be supported with tools that are reusable, convenient, consistent, and familiar. In addition... ..and security, authoring, administration, and management tools to support widely varying types of information, business **market** model, and/or personal objectives.

Employing VDE as a general purpose **electronic transaction**/distribution control **system** allows users to maintain a single transaction management control arrangement on each of their computers... ..administration of use) electronically stored and/or disseminated information. This includes, for example, commercially distributed **content**, **electronic** currency, **electronic** credit, business **transactions** (such as EDI), confidential communications, and the like. VDE can further be used to enable... ..of information usage, business and/or data security goals, varieties of participants, and properties of **delivered information**. A significant feature of VDE accommodates the many, varying distribution and other **transaction** variables by, in part, decomposing electronic commerce and data security functions into generalized capability modules...be "vectored" so that different interrupt sources may effectively cause different interrupt handlers to be **executed**.

A "timer tick" interrupt is generated when the **real-time** RTC 528 "pulses." The timer tick interrupt is processed by a timer tick interrupt handler...

16/5K/2 (Item 2 from file: 348) [Links](#)

EUROPEAN PATENTS

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02038564

**Secure transaction management**

Sicheres Transaktionsmanagement

Gestion de transactions securisees

**Patent Assignee:**

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(Applicant designated States: all)

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**Legal Representative:**

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	Country	Number	Kind	Date	
Patent	EP	1643340	A2	20060405	(Basic)
	EP	1643340	A3	20060531	
Application	EP	2005077923		19960213	
Priorities	US	388107		19950213	

**Designated States:**

AT; BE; CH; DE; DK; ES; FR; GB; GR; IE;  
IT; LI; LU; MC; NL; PT; SE;

**Related Parent Numbers: Patent (Application):**EP 861461 (EP 96922371)

IPC	Level	Value	Position	Status	Version	Action	Source	Office
G06F-0001/00	A	I	F	B	20060101	20060213	H	EP

**Abstract EP 1643340 A3**

A method of and apparatus for assembling software elements to form a component assembly (690) are described. A record (808) containing information identifying the software elements (1000, 1100, 1200, 1202, 690) to be assembled to form the component assembly is accessed. At least some of the software elements (1000, 1100) identified by the record comprise executable program code and at least one of the software elements is a load module (1100) comprising executable program code and a header (804) having an execution space identifier identifying which of a number of different security levels is required of a component assembly execution space. The software elements identified by the record are assembled to form a component assembly (690) that may, in use, be loaded and executed when the level of security of the component assembly execution space matches the level of security identified by the execution space identifier.

**Abstract Word Count:** 147

**NOTE:** 5b

**NOTE:** Figure number on first page: 5b

Type	Pub. Date	Kind	Text
Application:	20060405	A2	Published application without search report

Search Report:	20060531	A3	Separate publication of the search report
Change:	20060920	A2	Title of invention (German) changed: 20060920
Change:	20060920	A2	Title of invention (English) changed: 20060920
Change:	20060920	A2	Title of invention (French) changed: 20060920
Change:	20061011	A2	Title of invention (German) changed: 20061011
Change:	20061011	A2	Title of invention (English) changed: 20061011
Change:	20061011	A2	Title of invention (French) changed: 20061011
Change:	20070207	A2	Title of invention (German) changed: 20070207
Change:	20070207	A2	Title of invention (English) changed: 20070207
Change:	20070207	A2	Title of invention (French) changed: 20070207
Change:	20070516	A2	Title of invention (German) changed: 20070516
Change:	20070516	A2	Title of invention (English) changed: 20070516
Change:	20070516	A2	Title of invention (French) changed: 20070516

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200614	2171
SPEC A	(English)	200614	193720
Total Word Count (Document A) 195924			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 195924			

**Specification:** ...administration capabilities required for:

1. 1. Different types of electronic content,
2. 2. Differing electronic **content delivery** schemes,
3. 3. Differing electronic content usage schemes,
4. 4. Different **content** usage platforms, and
5. 5. Differing content **marketing** and model strategies.

VDE may be combined with, or integrated into, many **separate computers** and/or other electronic appliances. These appliances typically include a secure subsystem that can enable... ..that together with steps (1) through (5) can enable most "real world" electronic commerce and **data** security models, including models unique to the **electronic** world.

VDE's **transaction** management capabilities can enforce:

1. (1) privacy rights of users related to **information** regarding their usage of electronic information and/or appliances,
2. (2) societal policy such as... ..and user interfaces for a wide variety of transaction management related activities. As a result, **content** usage control, **data** security, **information** auditing, and **electronic financial** activities, can be

supported with tools that are reusable, convenient, consistent, and familiar. In addition...user or otherwise "intelligently" search remote one or more repositories of information for user desired **information**. After identifying desired **information** at one or more **remote** locations, by for example, **performing** one or more database searches, a smart object may return via communication to the user...

16/5K/4 (Item 4 from file: 348) [Links](#)

EUROPEAN PATENTS

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01930027

**Secure transaction management**

Verfahren und Vorrichtung zur gesicherten Transaktionsverwaltung

Procede et dispositif de gestion de transactions securisees

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(Applicant designated States: all)

**Inventor:**

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- **Shear, Victor H.**  
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- **Van Wie, David M.**  
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**Legal Representative:**

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BERESFORD & Co. 16 High Holborn; London WC1V 6BX; (GB)

	Country	Number	Kind	Date	
Patent	EP	1555591	A2	20050720	(Basic)
	EP	1555591	A3	20051123	
Application	EP	2005075672		19960213	
Priorities	US	388107		19950213	

**Designated States:**

AT; BE; CH; DE; DK; ES; FR; GB; GR; IE;

IT; LI; LU; MC; NL; PT; SE;

**Related Parent Numbers: Patent (Application):**EP 861461 (EP 96922371)

**International Patent Class (V7):** G06F-001/00; G06F-017/60**Abstract** EP 1555591 A2

A method of and apparatus for assembling software elements to form a component assembly (690) are described. A record (808) containing information identifying the software elements (1000, 1100, 1200, 1202, 690) to be assembled to form the component assembly is accessed. At least some of the software elements (1000, 1100) identified by the record comprise executable program code and at least one of the software elements is a load module (1100) comprising executable program code and a header (804) having an execution space identifier identifying which of a number of different security levels is required of a component assembly execution space. The software elements identified by the record are assembled to form a component assembly (690) that may, in use, be loaded and executed when the level of security of the component assembly execution space matches the level of security identified by the execution space identifier.

**Abstract Word Count:** 147

**NOTE:** 23

**NOTE:** Figure number on first page: 23

Type	Pub. Date	Kind	Text
Application:	20050720	A2	Published application without search report
Search Report:	20051123	A3	Separate publication of the search report
Change:	20051207	A2	Inventor information changed: 20051018
Change:	20060614	A2	Title of invention (German) changed: 20060614
Change:	20060614	A2	Title of invention (English) changed: 20060614
Change:	20060614	A2	Title of invention (French) changed: 20060614
Change:	20060726	A2	Title of invention (German) changed: 20060726
Change:	20060726	A2	Title of invention (English) changed: 20060726
Change:	20060726	A2	Title of invention (French) changed: 20060726
Change:	20070516	A2	Title of invention (German) changed: 20070516
Change:	20070516	A2	Title of invention (English) changed: 20070516
Change:	20070516	A2	Title of invention (French) changed: 20070516
Change:	20070725	A2	Title of invention (German) changed: 20070725
Change:	20070725	A2	Title of invention (English) changed: 20070725
Change:	20070725	A2	Title of invention (French) changed: 20070725

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200529	1002
SPEC A	(English)	200529	194028
Total Word Count (Document A) 195030			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 195030			



**Specification:** ...present invention, only the present invention provides commercially secure, effective solutions for configurable, general purpose **electronic commerce transaction/distribution control systems**. Controlling Electronic Content

The present invention provides a new kind of "virtual distribution environment" (called "VDE" in this...installations, classes and/or other groupings of installations and/or users; as well as to **electronic** content generally on a given installation, to specific properties, property portions, classes and/or other...completion and employ such additional textual information and/or editing as necessary to describe non **electronic transaction** elements of the agreement and make any other improvements that may be necessary.

These features...can be created;

FIGURE 13 is a detailed block diagram of an example the software **architecture** for a "protected processing environment" shown in FIGURE 12;

FIGURES 14A-14C are examples of...example, information relating to content use is, as shown by arrow 114, reported to a **financial** clearinghouse 116. Based on this "reporting," the financial clearinghouse 116 may generate a bill and **send** it to the **content** user 112 over a "reports and payments" network 118. Arrow 120 shows the content user...activated being selected in response to the received event code. The activated task will then **perform** its desired function in response to the event.

To destroy a channel, the various swap...

16/5K/9 (Item 9 from file: 348) **Links**

EUROPEAN PATENTS

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00762104

**NEGOTIATED MATCHING SYSTEM AND METHOD**

SYSTEM UND METHODE ZUM ZUSAMMENBRINGEN POTENTIELLER HANDELSPARTNER

BASIEREND AUF VERHANDLUNGEN

SYSTEME ET METHODE POUR METTRE EN RELATION DEUX PARTENAIRES COMMERCIAUX

POTENTIELS

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	Country	Number	Kind	Date	
Patent	EP	776505	A1	19970604	(Basic)
	EP	776505	B1	20000412	
	WO	9605563		19960222	
Application	EP	95932140		19950817	
	WO	951B839		19950817	
Priorities	GB	9416673		19940817	
	US	475499		19950607	

**Designated States:**

AT; BE; CH; DE; DK; ES; FR; GB; GR; IE;

IT; LI; LU; MC; NL; PT; SE;

**International Patent Class (V7): G06F-017/60CITED PATENTS: (EP B)**

EP 407026 A; EP 416482 A; EP 434224 A; EP 491455 A; EP 512702 A;

**NOTE:** No A-document published by EPO

Type	Pub. Date	Kind	Text
Change:	20010228	B1	Legal representative(s) changed 20010111
Grant:	20000412	B1	Granted patent
Oppn None:	20010328	B1	No opposition filed: 20010113
Application:	19960605	A	International application (Art. 158(1))
Application:	19970604	A1	Published application (A1with;A2without)
Examination:	19970604	A1	Date of filing of request for examination: 970227
Change:	19970611	A1	Title of invention (German) (change)
Examination:	19980114	A1	Date of despatch of first examination report: 971128
Change:	19990728	A1	Title of invention (German) (change)
Change:	19990728	A1	Title of invention (English) (change)
Change:	19990728	A1	Title of invention (French) (change)

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS B	(English)	200015	464
CLAIMS B	(German)	200015	480

CLAIMS B	(French)	200015	581
SPEC B	(English)	200015	6846
Total Word Count (Document A) 0			
Total Word Count (Document B) 8371			
Total Word Count (All Documents) 8371			

**Specification:** ...significantly as the settlement period increases. For example, in forward markets, e.g., the forward **foreign exchange** and forward rate agreements markets, often transactions do not have a final settlement for several...Nodes 17 and 19 may also be inserted into the communication network 1 between matching **computer 11** and remote **terminals 101** and **102**. These **nodes 17** and **19** may be intelligent **nodes** which, for example, **perform** filtering operations or passive **nodes** (repeater stations) which merely **transmit information** from the **matching computer 11** to the remote terminals 101 and 102. Connectors 21 and 23 maybe used to... ..components, software components, or both. The system may accommodate a plurality of markets (e.g., **foreign exchange**, interest rate swaps, etc.): However, for purposes of simplicity, the operation of the system in...For example, each user may enter different ranking information for different markets such as forward **foreign exchange** trading, lending, forward rate agreements, interest rate swaps, etc. The user may also enter different...quantity and the spot rate. The example shown in FIG. 6 is used in forward **foreign exchange** transactions, such that the forward points shown in box 604 are firm for both parties...

23/5K/3 (Item 3 from file: 348) [Links](#)

EUROPEAN PATENTS

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01334178

**A betting system and method.**

System und Verfahren fur Wetten

Systeme et procede pour faire des paris

**Patent Assignee:**

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**Inventor:**

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**Legal Representative:**

- **Hoarton, Lloyd Douglas Charles (80191)**  
Forrester & Boehmert, Pettenkoferstrasse 20-22; 80336 Munchen; (DE)

	Country	Number	Kind	Date	
Patent	EP	1139245	A1	20011004	(Basic)

Application	EP	2000302530		20000328	
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**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60Abstract EP 1139245 A1**

A fixed-odds betting system comprising: a user terminal operable to accept parameters, input by a user, relating to a fixed-odds bet on an aspect of a financial market; and a central processing machine having a data feed to a source of data concerning a financial market and means operable to calculate the fixed odds for the bet, based on at least some of the parameters input by the user and the data obtained from the data feed.

**Abstract Word Count: 78**

**NOTE: 1**

**NOTE: Figure number on first page: 1**

Type	Pub. Date	Kind	Text
Application:	20011004	A1	Published application with search report
Examination:	20011004	A1	Date of request for examination: 20010125
Examination:	20011004	A1	Date of dispatch of the first examination report: 20010404
Change:	20021113	A1	Inventor information changed: 20020926
Refusal:	20031112	A1	Date European patent application was refused: 20030620

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200140	1517
SPEC A	(English)	200140	4650
Total Word Count (Document A) 6167			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 6167			

**Claims: ...2, wherein the data feed to the source of data concerning the financial market comprises at least a data feed to real-time information concerning the financial market.**

4. A system according to any preceding claim wherein the data feed to the source of data concerning ...

23/5K/4 (Item 4 from file: 348) [Links](#)

EUROPEAN PATENTS

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01238566

**Methods and systems for collateral matching and mark to market reconciliation**

Verfahren und Systeme für die begleitende Abstimmung und Markt-Abgleichung von finanziellen Transaktionen

Méthodes et systèmes pour égaler de manière collatérale et reconcilier le marché des opérations financières

**Patent Assignee:**

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- **Cassell, Jon**  
The Linhay Windhill; Bishop's Stortford, Herts, CM23 2NG; (GB)

**Legal Representative:**

- **Johansson, Lars-Erik et al (9205661)**  
Hynell Patenttjänst AB Patron Carls vag 2; 683 40 Hagfors / Uddeholm; (SE)

	Country	Number	Kind	Date	
Patent	EP	1072990	A2	20010131	(Basic)
	EP	1072990	A3	20040414	
Application	EP	2000202687		20000728	
Priorities	US	146569	P	19990730	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60Abstract EP 1072990 A2**

The present invention provides secure, high-volume, processing methods and systems for multiple financial instruments that combine collateral matching to identify matched and unmatched financial transactions and consolidated mark to market valuations for all parties to a matched financial transaction. Further, the methods and systems of the present invention: (1) provide real-time identification of matched and unmatched financial transactions; (2) provide real-time mark to market portfolio valuations; (3) provide standard formulae and user preferences to develop algorithms for real-time mark to market portfolio valuations; (4) accommodate additional financial instruments and additional users; (5) minimize manual review of discrepancies in margin valuations; (6) provide multilingual capabilities, settlement currencies, and other identifiers necessary to communicate the results of

collateral matching and mark to market portfolio valuations; (7) facilitate lower financial transaction and processing costs; and (8) minimize the manual entry and re-keying of information into multiple formats and templates used parties to a financial transaction.

In other embodiments of the present invention, the methods and systems may be designed to: (1) utilize a user-friendly interactive user interface; (2) provide integration with external and internal systems; (3) provide detailed reports; (4) allow for real-time system modifications and system configuration; (5) allow for customized import/export files; and/or (6) utilize state-of-the-art communications technology.

**Abstract Word Count:** 208

**NOTE:** NONE

**NOTE: Figure number on first page:** NONE

Type	Pub. Date	Kind	Text
Application:	20010131	A2	Published application without search report
Change:	20021218	A2	Legal representative(s) changed 20021025
Search Report:	20040414	A3	Separate publication of the search report
Examination:	20041110	A2	Date of request for examination: 20040915
Extended:	20050105	A2	Extended states: AL; LT; LV; MK; RO; SI
Change:	20051109	A2	Legal representative(s) changed 20050919
Change:	20070117	A2	Title of invention (German) changed: 20070117
Change:	20070117	A2	Title of invention (English) changed: 20070117
Change:	20070117	A2	Title of invention (French) changed: 20070117
Change:	20070207	A2	Title of invention (German) changed: 20070207
Change:	20070207	A2	Title of invention (English) changed: 20070207
Change:	20070207	A2	Title of invention (French) changed: 20070207

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200105	1774
SPEC A	(English)	200105	7626
Total Word Count (Document A) 9400			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 9400			

**Specification:** ...and quickly. The present invention is related to, but remains independent of, any execution confirmation **matching system**.

The **system** reconciles the MTM value of multiple **financial** instruments. Any **financial** instrument (e.g., interest rate **swaps**, currency swaps, interest **rate** options, non-**delivery** versions of foreign exchange related products, etc.) may be matched and reconciled. In an embodiment...

23/5K/5 (Item 5 from file: 348) [Links](#)

**EUROPEAN PATENTS**

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01189553

**METHOD AND APPARATUS FOR PROCESSING BUSINESS INFORMATION FROM MULTIPLE ENTERPRISES**

VERFAHREN UND APPARAT ZUM VERARBEITEN VON GESCHAFTSINFORMATIONEN AUS MEHREREN UNTERNEHMEN

PROCEDE ET DISPOSITIF POUR TRAITER LES INFORMATIONS COMMERCIALES DE PLUSIEURS ENTREPRISES

**Patent Assignee:**

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(Proprietor designated states: all)

**Inventor:**

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- **GARDEPE, E. Brian**  
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**Legal Representative:**

- **Beresford, Keith Denis Lewis et al (28275)**  
Beresford & Co., 2-5 Warwick Court, High Holborn; London WC1R 5DH; (GB)

	Country	Number	Kind	Date	
Patent	EP	1177515	A2	20020206	(Basic)
	EP	1177515	B1	20031105	
	WO	2000042553		20000720	
Application	EP	2000901410		20000113	
	WO	2000US728		20000113	
Priorities	US	231819		19990115	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60CITED PATENTS: (EP B)**

US 5781911 A; US 5794246 A;

NOTE: No A-document published by EPO

Type	Pub. Date	Kind	Text
Application:	20000913	A2	International application. (Art. 158(1))
Application:	20000913	A2	International application entering European phase
Application:	20020206	A2	Published application without search report
Examination:	20020206	A2	Date of request for examination: 20010815
Examination:	20020313	A2	Date of dispatch of the first examination report: 20020129
Grant:	20031105	B1	Granted patent
Lapse:	20040609	B1	Date of lapse of European Patent in a contracting state (Country, date): SE 20040205,
Lapse:	20040623	B1	Date of lapse of European Patent in a contracting state (Country, date): FI 20031105, SE 20040205,
Lapse:	20040728	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, FI 20031105, SE 20040205,
Lapse:	20040811	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20040728	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, FI 20031105, SE 20040205,
Lapse:	20041006	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, DK 20040205, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20040811	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20041006	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, DK 20040205, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Oppn None:	20041027	B1	No opposition filed: 20040806
Lapse:	20041027	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20041110	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20041222	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, BE 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GR 20040205, NL 20031105, SE 20040205,
			Date of lapse of European Patent in a contracting state



Lapse:	20041229	B1	(Country, date): AT 20031105, BE 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GB 20040205, GR 20040205, NL 20031105, SE 20040205,
Lapse:	20050112	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, BE 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GB 20040205, GR 20040205, MC 20040131, NL 20031105, SE 20040205,
Lapse:	20050119	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, BE 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GB 20040205, GR 20040205, IE 20040113, MC 20040131, NL 20031105, SE 20040205,
Lapse:	20050608	B1	Date of lapse of European Patent in a contracting state (Country, date): AT 20031105, BE 20031105, CH 20031105, LI 20031105, DE 20040206, DK 20040205, ES 20040216, FI 20031105, GB 20040205, GR 20040205, IE 20040113, LU 20040113, MC 20040131, NL 20031105, SE 20040205,
Change:	20060405	B1	Title of invention (German) changed: 20060405
Change:	20060405	B1	Title of invention (English) changed: 20060405
Change:	20060405	B1	Title of invention (French) changed: 20060405
Change:	20070221	B1	Title of invention (German) changed: 20070221
Change:	20070221	B1	Title of invention (English) changed: 20070221
Change:	20070221	B1	Title of invention (French) changed: 20070221
Change:	20070829	B1	Title of invention (German) changed: 20070829
Change:	20070829	B1	Title of invention (English) changed: 20070829
Change:	20070829	B1	Title of invention (French) changed: 20070829

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS B	(English)	200345	1030
CLAIMS B	(German)	200345	904
CLAIMS B	(French)	200345	1325
SPEC B	(English)	200345	7465
Total Word Count (Document A) 0			
Total Word Count (Document B) 10724			
Total Word Count (All Documents) 10724			

**Claims:** ...plurality of information systems (102, 104) each operable to generate business information data; and

a plurality of local transaction systems (120, 110) operable to transmit business information data from said information systems (102, 104) to said means for receiving business information data of...

23/5K/6 (Item 6 from file: 348) Links

EUROPEAN PATENTS

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01155915

**Method and system for performing multibank automated financial transactions involving foreign currencies**

Verfahren und System zum Durchföhren von automatischen Finanztransaktionen zwischen mehreren Banken betreffend ausländische Währungen

Methode et systeme permettant d'effectuer des transactions financieres automatisees entre plusieurs banques concernant des devises etrangeres

**Patent Assignee:**

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(Applicant designated States: all)

**Inventor:**

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- **Potter, Neil**  
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- **Jacobs, David**  
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- **Anasson, Cynthia**  
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**Legal Representative:**

- **Johansson, Lars-Erik et al (9205661)**  
Hynell Patenttjanst AB Patron Carls vag 2; 683 40 Hagfors / Uddeholm; (SE)

	Country	Number	Kind	Date	
Patent	EP	1006472	A2	20000607	(Basic)
	EP	1006472	A3	20030102	
Application	EP	99204053		19991201	
Priorities	US	111029		19981204	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;

GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60Abstract EP 1006472 A2**

A method and system for performing multibank automated financial transactions involving currency exchange includes a plurality of discrete, standing price currency exchange dealing systems, each operating under the control of a particular financial institution, and each coupled over a secure network to the computer terminal of a user. The user communicates with each of the discrete dealing systems over the secure network and can secure competitive currency exchange price quotes without redialing or logging in separately to each of the dealing systems.

**Abstract Word Count: 83**

**NOTE: 2**

**NOTE: Figure number on first page: 2**

Type	Pub. Date	Kind	Text
Application:	20000607	A2	Published application without search report
Change:	20021218	A2	Legal representative(s) changed 20021025
Search Report:	20030102	A3	Separate publication of the search report
Examination:	20030827	A2	Date of request for examination: 20030701
Extended:	20030924	A2	Extended states: AL; LT; LV; MK; RO; SI
Change:	20051109	A2	Legal representative(s) changed 20050919
Change:	20070110	A2	Title of invention (German) changed: 20070110
Change:	20070110	A2	Title of invention (English) changed: 20070110
Change:	20070110	A2	Title of invention (French) changed: 20070110
Change:	20070117	A2	Title of invention (German) changed: 20070117
Change:	20070117	A2	Title of invention (English) changed: 20070117
Change:	20070117	A2	Title of invention (French) changed: 20070117
Change:	20070207	A2	Title of invention (German) changed: 20070207
Change:	20070207	A2	Title of invention (English) changed: 20070207
Change:	20070207	A2	Title of invention (French) changed: 20070207

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200023	2216
SPEC A	(English)	200023	7977
Total Word Count (Document A) 10193			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 10193			

**Claims:** ...the currency exchange dealing systems.

58. The system of claim 46, wherein the means for **automatically** returning the requested **price** quote further

comprises each currency **exchange dealing system coupled** over a **network** to a computer terminal.

59. The system of claim 58, wherein the network further comprises...

23/5K/7 (Item 7 from file: 348) [Links](#)

EUROPEAN PATENTS

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01155828

**Computer system for data management and method for operation of the system**

Rechnersystem zur Datenverwaltung und Verfahren zur Ausführung dieses Systems

Système électronique pour la gestion de données et méthode de mise en oeuvre du système

**Patent Assignee:**

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(Applicant designated States: all)

**Inventor:**

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- **Potter, Neil**  
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- **Raschdorf, Andreas**  
Raymond-Jacquet Weg 11; 61267 New Anspach; (US)
- **Torremante, Marie**  
Weinfeldstrasse 28; 65187 Wiesbaden; (DE)
- **Licci, Christine**  
Am Bienigrain 10; 63456 Hanau; (DE)
- **Pfundt, Dieter**  
Mainzerstrasse 33; 65719 Hofheim; (DE)

**Legal Representative:**

- **Beetz & Partner Patentanwälte (100712)**  
Steinsdorfstrasse 10; 80538 Munchen; (DE)

	Country	Number	Kind	Date	
Patent	EP	1006471	A2	20000607	(Basic)
	EP	1006471	A3	20010221	
Application	EP	99123955		19991206	
Priorities	US	111032		19981204	
	US	111030		19981204	
	US	111031		19981204	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60Abstract EP 1006471 A2**

An automated trading system makes use of various components, such as one or more transaction servers (6, 202) and one or more rate servers (8, 204) and a number of terminals (2, 210; 4, 102, 104). A request for a proposed transaction for a user (12, 116, 208) is entered at either a user's terminal (2, 210) or a sales trader's terminal (4, 102, 104) and sent to a transaction server (6, 202) coupled to a rate server (8, 204). If a first predefined condition for generating an executable rate quote is identified, an executable rate quote is generated by the rate server (8, 204) and sent back to the user's (2, 210) or sales trader's terminal (4, 102, 104) for the user (12, 116, 208). Otherwise, if a second predefined condition for a category trader's rate quote is identified, a request for the category trader's rate quote is sent by the transaction server (6, 202) to one or more category trader's terminals, prompting entry of a category trader's rate quote by one or more of the category traders, which is likewise sent back to the user's (2, 210) or sales trader's terminal (4, 102, 104) for the user (12, 116, 208). If a request for execution is entered at the user's (2, 210) or sales trader's terminal (4, 102, 104) within a predetermined period of time, the transaction server (6, 202) hands off the request for execution to a hand-off server (7, 108, 206), which executes the transaction for the user (12, 116, 208).

**Abstract Word Count: 256**

**NOTE: 1**

**NOTE: Figure number on first page: 1**

Type	Pub. Date	Kind	Text
Application:	20000607	A2	Published application without search report
Search Report:	20010221	A3	Separate publication of the search report
Examination:	20011010	A2	Date of request for examination: 20010810
Extended:	20011114	A2	Extended states: AL; LT; LV; MK; RO; SI
Examination:	20011205	A2	Date of dispatch of the first examination report: 20011018

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)	200023	2886
SPEC A	(English)	200023	11523
Total Word Count (Document A) 14409			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 14409			

**Claims:** ...executable rate quote by the rate server (8, 204) of at least one of the **plurality** of **trading systems** (216, 218) further comprises **automatically** generating the executable **rate** quote by the rate server (8, 204) coupled to a corresponding transaction server (6, 202...

23/5K/8 (Item 8 from file: 348) [Links](#)

EUROPEAN PATENTS

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01049389

**OPEN-ARCHITECTURE SYSTEM FOR REAL-TIME CONSOLIDATION OF INFORMATION FROM MULTIPLE FINANCIAL SYSTEMS**

SYSTEM MIT OFFENER ARCHITEKTUR ZUM ECHTZEIT-KONSOLIDIEREN DER INFORMATION MEHRERER FINANZIELLER SYSTEME

SYSTEME A ARCHITECTURE OUVERTE POUR LA CONSOLIDATION TEMPS REEL D'INFORMATIONS PROVENANT DE SYSTEMES FINANCIERS MULTIPLES

**Patent Assignee:**

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(Proprietor designated states: all)

**Inventor:**

- **Northington, Cathy C.**  
114 82nd Street; Virginia Beach, VA 23451; (US)
- **Goodson, Louis**  
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**Legal Representative:**

- **Sturt, Clifford Mark et al (50502)**  
Miller Sturt Kenyon 9 John Street; London WC1N 2ES; (GB)

	Country	Number	Kind	Date	
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Patent	EP	1027672	A1	20000816	(Basic)
	EP	1027672	B1	20041222	
	WO	1999022326		19990506	
Application	EP	98953924		19981022	
	WO	98US22461		19981022	
Priorities	US	63633	P	19971027	
	US	166069		19981005	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

LT; RO;

**International Patent Class (V7): G06F-017/60; G06F-017/60CITED PATENTS: (EP B)**

WO 97/08635 A; WO 97/36253 A; US 5189608 A; **CITED PATENTS: (WO A)**

XP 602338 ; XP 2095276 ; XP 2095277 ;

**NOTE:** No A-document published by EPO

Type	Pub. Date	Kind	Text
Application:	20000816	A1	Published application with search report
Application:	19990707	A1	International application (Art. 158(1))
Change:	20070502	B1	Title of invention (French) changed: 20070502
Change:	20070502	B1	Title of invention (English) changed: 20070502
Change:	20070502	B1	Title of invention (German) changed: 20070502
Change:	20060322	B1	Title of invention (French) changed: 20060322
Change:	20060322	B1	Title of invention (English) changed: 20060322
Change:	20060322	B1	Title of invention (German) changed: 20060322
Oppn None:	20051214	B1	No opposition filed: 20050923
Lapse:	20050629	B1	Date of lapse of European Patent in a contracting state (Country, date): CH 20041222, LI 20041222, FI 20041222, GR 20050322,
Lapse:	20050615	B1	Date of lapse of European Patent in a contracting state (Country, date): FI 20041222,
Examination:	20030521	A1	Date of dispatch of the first examination report: 20030407
Examination:	20000816	A1	Date of request for examination: 20000515
Assignee:	20010314	A1	Transfer of rights to new applicant: BANK OF AMERICA CORPORATION (2795601) 100 North Tryon Street Charlotte, NC 28255 US
Grant:	20041222	B1	Granted patent
Lapse:	20050622	B1	Date of lapse of European Patent in a contracting state (Country, date): CH 20041222, LI 20041222, FI 20041222,

Lapse:	20050907	B1	Date of lapse of European Patent in a contracting state (Country, date): FI 20041222, CH 20041222, LI 20041222, GR 20050322, AT 20041222,
Lapse:	20051221	B1	Date of lapse of European Patent in a contracting state (Country, date): FI 20041222, CH 20041222, LI 20041222, GR 20050322, AT 20041222, BE 20041222,
Change:	20060405	B1	Title of invention (German) changed: 20060405
Change:	20060405	B1	Title of invention (English) changed: 20060405
Change:	20060405	B1	Title of invention (French) changed: 20060405

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS B	(English)	200452	686
CLAIMS B	(German)	200452	653
CLAIMS B	(French)	200452	814
SPEC B	(English)	200452	8441
Total Word Count (Document A) 0			
Total Word Count (Document B) 10594			
Total Word Count (All Documents) 10594			

**Specification:** ...The present invention as set out in claim 1 offers an open-architecture system for **automatically** consolidating **information** from a **plurality** of **financial systems** into a single system without the need for expensive and time-consuming backroom procedures. The...

**Claims:** ...transactions of an entity, comprising:

a network and gateway services element (101) for accessing a **plurality** of **financial systems**;

a data repository services element (102) for storing data generated, received and processed by said system;

an application services element (103) comprising

a processor for formatting **data** received and **transmitted** by said system,

a navigator for identifying one or more sources of information required by... ..control commands received from a remote access terminal or from one or more of said **plurality** of **financial systems**, and for generating corresponding

source access command signals, and



a session manager coupled to said... ..a login manager for controlling login, handshaking, and security functions between said system and said **plurality of financial systems**,

a gateway for **transmitting** and receiving financial **data** and control data. between said system and said **plurality of financial systems**, and

a network data mover for formatting financial data to be transmitted by said system... ..data contained in the update commands, and generates source access commands corresponding to said identified **financial systems** to **automatically update financial data** stored in said **plurality of financial systems**.

23/5K/10 (Item 10 from file: 348) [Links](#)

EUROPEAN PATENTS

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01019612

**SYSTEM AND METHOD FOR PROVIDING AN INFORMATION GATEWAY**

**SYSTEM UND VERFAHREN ZUR BEREITSTELLEN EINER INFORMATIONSSCHNITTSTELLE**

**SYSTEME ET PROCEDE SERVANT DE PASSERELLE POUR LA TRANSMISSION D'INFORMATIONS**

**Patent Assignee:**

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(Proprietor designated states: all)

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**Legal Representative:**

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BOULT WADE TENNANT, Verulam Gardens 70 Gray's Inn Road; London WC1X 8BT; (GB)

	Country	Number	Kind	Date	
Patent	EP	992014	A1	20000412	(Basic)
	EP	992014	B1	20040818	
	EP	992014	B1	20040818	
	WO	1999000753		19990107	
Application	EP	98930604		19980629	
	WO	98CA638		19980629	
Priorities	US	883739		19970627	

**Designated States:**

AT; BE; CH; CY; DE; DK; ES; FI; FR; GB;  
GR; IE; IT; LI; LU; MC; NL; PT; SE;

**Extended Designated States:**

AL; LT; LV; MK; RO; SI;

**International Patent Class (V7): G06F-017/60; G06F-017/60CITED PATENTS: (EP B)**

EP 462725 A; EP 669771 A; DE 4326215 A; **CITED PATENTS: (WO A)**

XP 2082445 ;

**NOTE:** No A-document published by EPO

Type	Pub. Date	Kind	Text
Examination:	20000830	A1	Date of dispatch of the first examination report: 20000714
Application:	20000412	A1	Published application with search report
Change:	20050803	B1	Opponent changed 20050615
Oppn Change:	20050803	B1	Opposition 01/20050518 Admissible oppositionDeutsche Borse AG (153980) Neue Borsenstrasse 1 60487 Frankfurt am Main DE(Representative:)Kayser, Andreas (98051) Grunecker, Kinkeldey, Stockmair & Schwanhausser Anwaltssozietat Maximilianstrasse 58 80538 Munchen (DE)
Oppn:	20050713	B1	Opposition 01/20050518 Opposition filedDeutsche Borse AG (153980) Neue Borsenstrasse 1 60487 Frankfurt am Main DE(Representative:)Kayser, Andreas (98051) Grunecker, Kinkeldey, Stockmair & Schwanhausser Anwaltssozietat Maximilianstrasse 58 80538 Munchen (DE)
Grant:	20040818	B1	Granted patent
Grant:	20040818	B1	Granted patent
Oppn Change:	20050720	B1	Opposition 01/20050518 Opposition filedDeutsche Borse AG (153980) Neue Borsenstrasse 1 60487 Frankfurt am Main DE(Representative:)Kayser, Andreas (98051) Grunecker, Kinkeldey, Stockmair & Schwanhausser Anwaltssozietat Maximilianstrasse 58 80538 Munchen (DE)
Change:	20050720	B1	Opponent changed 20050603
Application:	19990428	A1	International application (Art. 158(1))
Examination:	20000412	A1	Date of request for examination: 20000125

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS B	(English)	200434	944
CLAIMS B	(German)	200434	781
CLAIMS B	(French)	200434	1014

SPEC B	(English)	200434	3618
Total Word Count (Document A) 0			
Total Word Count (Document B) 6357			
Total Word Count (All Documents) 6357			

**Specification:** ...and/or different protocols that differ from the common protocol. Background of the Invention

To **transfer information** between **two systems**, i.e., a customer system and a **financial market (exchange) system**, that utilize different protocols or languages, it is necessary to manually extract the raw data from the one system and manually enter that data into the other **system**. **Trading interface systems** implemented by brokerages utilize such a **dual system**. One **system** is used to communicate on the client side for receiving **transaction information**, e.g., orders, and **transmitting transaction information**, e.g., acknowledgments, confirmations and historical data. The other system is used to communicate on... ..is transmitted, and vice versa.

Embodiments of the invention include a gateway which receives and **transmits transaction information** from/to **at least one customer system**, receives and **transmits transaction information** from/to a plurality of markets (exchanges), and translates transaction information from a first protocol...

23/5K/11 (Item 11 from file: 348) [Links](#)

EUROPEAN PATENTS

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00936441

**SYSTEM AND METHOD FOR EXTENDED ENTERPRISE PLANNING ACROSS A SUPPLY CHAIN**  
**SYSTEM UND VERFAHREN FÜR DIE EINE VERSORGUNGSKETTE UMSPANNENDE ERWEITERTE**  
**PLANUNG EINES BETRIEBES**  
**SYSTEME ET METHODE DE PLANIFICATION D'ENTREPRISE COUVRANT UNE CHAÎNE DE**  
**D'APPROVISIONNEMENT**

**Patent Assignee:**

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	Country	Number	Kind	Date	
Patent	EP	861474	A1	19980902	(Basic)
	EP	861474	B1	20050601	
	WO	1998008177		19980226	
Application	EP	97939499		19970820	
	WO	97US14789		19970820	
Priorities	US	697261		19960821	

**Designated States:**

AT; BE; CH; DE; DK; ES; FI; FR; GB; GR;  
IE; IT; LI; LU; MC; NL; PT; SE;

**Related Divisions: Patent (Application):** (EP 2004021703)

**International Patent Class (V7):** G06F-017/60; G06F-017/60**CITED PATENTS: (WO A)**

A A Y;

**NOTE:** No A-document published by EPO

Type	Pub. Date	Kind	Text
Examination:	20030122	A1	Date of dispatch of the first examination report: 20021204
Application:	19980701	A1	International application (Art. 158(1))
Change:	20070627	B1	Title of invention (French) changed: 20070627
Change:	20070627	B1	Title of invention (English) changed: 20070627
Change:	20070627	B1	Title of invention (German) changed: 20070627
Change:	20061004	B1	Title of invention (French) changed: 20061004
Change:	20061004	B1	Title of invention (English) changed: 20061004
Change:	20061004	B1	Title of invention (German) changed: 20061004
Change:	20060712	B1	Title of invention (French) changed: 20060712
Change:	20060712	B1	Title of invention (English) changed: 20060712
Change:	20060712	B1	Title of invention (German) changed: 20060712
Change:	20060531	B1	Title of invention (French) changed: 20060531
Change:	20060531	B1	Title of invention (English) changed: 20060531
Change:	20060531	B1	Title of invention (German) changed: 20060531
Change:	20060405	B1	Title of invention (French) changed: 20060405
Change:	20060405	B1	Title of invention (English) changed: 20060405
Change:	20060405	B1	Title of invention (German) changed: 20060405
			Date of lapse of European Patent in a contracting state

(Country, date): SE 20050901, FI 20050601,

Lapse:	20051228	B1	
Grant:	20050601	B1	Granted patent
Change:	20040623	A1	Legal representative(s) changed 20040504
Change:	20041103	A1	Application number of divisional application (Article 76) changed: 20040915
Lapse:	20051214	B1	Date of lapse of European Patent in a contracting state (Country, date): SE 20050901,
Change:	20060329	B1	Title of invention (German) changed: 20060329
Change:	20060329	B1	Title of invention (English) changed: 20060329
Change:	20060329	B1	Title of invention (French) changed: 20060329
Change:	20060524	B1	Title of invention (German) changed: 20060524
Change:	20060524	B1	Title of invention (English) changed: 20060524
Change:	20060524	B1	Title of invention (French) changed: 20060524
Change:	20060628	B1	Title of invention (German) changed: 20060628
Change:	20060628	B1	Title of invention (English) changed: 20060628
Change:	20060628	B1	Title of invention (French) changed: 20060628
Change:	20060830	B1	Title of invention (German) changed: 20060830
Change:	20060830	B1	Title of invention (English) changed: 20060830
Change:	20060830	B1	Title of invention (French) changed: 20060830
Change:	20070425	B1	Title of invention (German) changed: 20070425
Change:	20070425	B1	Title of invention (English) changed: 20070425
Change:	20070425	B1	Title of invention (French) changed: 20070425
Application:	19980902	A1	Published application (A1with;A2without)
Examination:	19980902	A1	Date of filing of request for examination: 980330

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word

			Count
CLAIMS B	(English)	200522	916
CLAIMS B	(German)	200522	813
CLAIMS B	(French)	200522	1108
SPEC B	(English)	200522	5316
Total Word Count (Document A) 0			
Total Word Count (Document B) 8153			
Total Word Count (All Documents) 8153			

**Claims:** ...layer (14);

connecting a plurality of second planning interchange layers (20) to a plurality of **second transactional execution system** layers (18) associated with supply enterprises (12) in different tiers of the supply chain, the... ..interchange layers (20) providing a data specification format and an external communication interface for the **second transactional execution system** layers (18); and

connecting a third planning interchange layer (24) to a supply chain planning... ..24) with a data access/transfer layer (26), the supply chain planning engine, the first **transactional execution system** layer (14) and each of the **second transactional execution system** layers (18) communicating planning information;

the data specification formats and external communication interfaces of the ...

23/5K/13 (Item 13 from file: 348) [Links](#)

EUROPEAN PATENTS

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00430602

**Distributed system and method for matching of buyers and sellers.**

Verteiltes System und Verfahren zum Herstellen von Geschäftsbeziehungen zwischen Käufern und Verkäufern.

Système distribué et méthode pour établir une correspondance entre acheteurs et vendeurs.

**Patent Assignee:**

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(applicant designated states: CH;DE;FR;GB;LI)

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	Country	Number	Kind	Date	
Patent	EP	407026	A2	19910109	(Basic)
	EP	407026	A3	19911016	
	EP	407026	B1	19951122	
Application	EP	90305753		19900525	
Priorities	US	357036		19890525	
	US	357484		19890525	

**Designated States:**

CH; DE; FR; GB; LI;

**International Patent Class (V7): G06F-017/60; ; G06F-017/60CITED PATENTS: (EP A)**

US 3573747 A; GB 2161003 A; Abstract EP 407026 A2

A matching system and method for trading instruments are provided in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments in which controllable subsets (110, 112) of a distributable system trading book (118) may be selectively provided to trading keystations (24) in the matching system from the host computer (20) or central system for controllably masking the available trading market. The system comprises the host computer (20) for maintaining a host book data base (118) comprising all of the active bids and offers in the system by trading instrument, a transaction originating keystation (24a) at a client site (26a) for providing a bid on a given trading instrument to the system for providing a potential matching transaction, a counterparty keystation (24b) for providing an offer on the given trading instrument involved in the potential matching transaction, and a network (22) for interconnecting the host computer (20), the transaction originating keystation (24a) and the counterparty keystation (24b) in the system for enabling data communication therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (24b), which of course can comprise more than one counterparty for a given transaction, for the potential matching transaction each have an associated local data base keystation book (110, 112) comprising a subset of the host book (118). The content of each of the keystation books (110, 112) has an associated display depth range which is controllable by the host computer (20) and is updatable by transaction update broadcast messages (132) received from the host computer (20) through the network (22). The network (22) is preferably transparent to the transactions communicated via the network (22). In the system of the present invention, the broadcast messages (132) from the host or central system (20) are broadcast to all of the keystations (24) in the matching system and are used to update the keystation (110, 112) books whereas the directed messages (122, 124, 128, 130) which are sent from the central system or host (20) are directed back only to the keystations (24a, 24b) involved in the actual matching transaction. These directed messages are used to update the local entry data base or order book (114, 116) at the local keystations (24a, 24b) involved in the transaction so as to indicate what has happened to the offer or bid at that particular keystation (24a, 24b) made in the connection with the matching transaction.

**Abstract Word Count: 419**

Type	Pub. Date	Kind	Text
Application:	19910109	A2	Published application (A1with;A2without)
Examination:	19910227	A2	Date of filing of request for examination: 901227
Search Report:	19911016	A3	Separate publication of the European or International search report
Examination:	19940112	A2	Date of despatch of first examination report: 931126
Change:	19950524	A2	Representative (change)
Grant:	19951122	B1	Granted patent
Oppn None:	19961113	B1	No opposition filed

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)		945
SPEC A	(English)		9215
CLAIMS B	(English)	EPAB95	811
CLAIMS B	(German)	EPAB95	684
CLAIMS B	(French)	EPAB95	1013
SPEC B	(English)	EPAB95	9192
Total Word Count (Document A) 10161			
Total Word Count (Document B) 11700			
Total Word Count (All Documents) 21861			

**Specification:** ...market for fungible goods; and U.S. Patent No. 4,674,044, which discloses an **automated securities trading system**. However, none of these prior art **matching systems** implements or suggests the use of a broadcast capability for messages from the host computer... ..provide restricted subsets of the host book at these keystations. In Addition, no prior art **matching systems** are known to applicants in which directed messages are employed between the keystations in the... ..or central system book.

According to one aspect of the invention there is provided a **matching system** for **trading** instruments as set out in claim 1. According to another aspect of the invention there...at the host or central system, the view of the trading instrument throughout the entire **matching system** "world" can be effectively changed. For example, if the host system sets the display depth... ..trading environment can be displayed. Although, dynamic control of the content of a local receiver **data** base from a **transmitted data** base in an information retrieval communication network has been previously employed by applicants assignee such... ..keystation local data bases. Thus, the system of the present invention for providing a distributed **matching system** overcomes the disadvantages of the prior art.

#### Disclosure of the Invention

A **matching system** for **trading** instruments is provided in which bids are automatically matched against offers for given trading instruments... ..distributable system trading book may be selectively provided to the various trading keystations in the **matching system** from the host or central system in order to controllably mask the available trading market...drawings in which:



FIG. 1 is an overall system functional block diagram of a distributed **matching system** ;

FIG. 2 is a functional block diagram of the system of FIG. 1 illustrating the... ..with the entry of a bid and the entry of an offer in the distributed **matching system** of FIG. 1;

FIG. 3 is a functional block diagram similar to FIG. 2 of the flow of information in the distributed **matching system** in **connection** with a hit, bid or trade;

FIG. 4 is an illustrative diagram of a logical ...

**Specification:** ...market for fungible goods; and U.S. Patent No. 4,674,044, which discloses an **automated securities trading system**. However, none of these prior art **matching systems** implements or suggests the use of a broadcast capability for messages from the host computer... ..provide restricted subsets of the host book at these keystations. In Addition, no prior art **matching systems** are known to applicants in which directed messages are employed between the keystations in the... ..keystations as subsets of the host or central system book.

US-A-3573747 discloses a **matching system** for **trading** instruments in which bids are automatically matched against offers for given trading instruments for automatically...at the host or central system, the view of the trading instrument throughout the entire **matching system** "world" can be effectively changed. For example, if the host system sets the display depth... ..trading environment can be displayed. Although, dynamic control of the content of a local receiver **data** base from a **transmitted data** base in an information retrieval communication network has been previously employed by applicants assignee such... ..keystation local data bases. Thus, the system of the present invention for providing a distributed **matching system** overcomes the disadvantages of the prior art.

#### Disclosure of the Invention

A **matching system** for **trading** instruments is provided in which bids are automatically matched against offers for given trading instruments... ..distributable system trading book may be selectively provided to the various trading keystations in the **matching system** from the host or central system in order to controllably mask the available trading market FIG. 1 is an overall system functional block diagram of a distributed **matching system**;

FIG. 2 is a functional block diagram of the system of FIG. 1 illustrating the... ..with the entry of a bid and the entry of an offer in the distributed **matching system** of FIG. 1;

FIG. 3 is a functional block diagram similar to FIG. 2 of the flow of information in the distributed **matching system** in **connection** with a hit, bid or trade;

FIG. 4 is an illustrative diagram of a logical ...

23/5K/14 (Item 14 from file: 348) [Links](#)

EUROPEAN PATENTS

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00401570

**Anonymous matching system**

Anonymes Geschäftsbeziehungssystem

Systeme d'appariement anonyme

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	Country	Number	Kind	Date	
Patent	EP	399850	A2	19901128	(Basic)
	EP	399850	A3	19910911	
	EP	399850	B1	19951213	
Application	EP	90305762		19900525	
Priorities	US	357478		19890526	

**Designated States:**

CH; DE; FR; GB; LI;

**International Patent Class (V7): G06F-017/60; ; ; G06F-017/60CITED PATENTS: (EP A)**

US 4412287 A; US 3573747 A; US 3719927 A; **Abstract** EP 399850 A2

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction

has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

**Abstract Word Count: 243**

Type	Pub. Date	Kind	Text
Application:	19901128	A2	Published application (A1with;A2without)
Examination:	19910123	A2	Date of filing of request for examination: 901130
Search Report:	19910911	A3	Separate publication of the European or International search report
Examination:	19931215	A2	Date of despatch of first examination report: 931102
Change:	19950510	A2	Representative (change)
Grant:	19951213	B1	Granted patent
Oppn:	19961106	B1	Opposition 01/960912 ERS DEALING RESOURCES INC; One Court Square - 11th Floor; Long Island City New York 11120; (US)(Representative:)Lloyd, Patrick Alexander Desmond (GB); Reddie & Grose 16 Theobalds Road; GB-London WC1X 8PL; (GB)
Oppn Ended:	19981118	B1	Termination of opposition procedure: 980702

Publication: English

Procedural: English

Application: English

Available Text	Language	Update	Word Count
CLAIMS A	(English)		559
SPEC A	(English)		13131
Total Word Count (Document A) 13690			
Total Word Count (Document B) 0			
Total Word Count (All Documents) 13690			

**Specification:** ...distributable system trading book may be selectively provided to the various trading keystations in the **matching** system from the host or central system in order to controllably mask the available trading ...  
...drawings in which:

FIG. 1 is an overall system functional block diagram of the distributed **matching system** of the present invention;

FIG. 2 is a functional block diagram of the system of... ...with the entry of a bid and the entry of an offer in the distributed **matching system** of FIG. 1;

FIG. 3 is a functional block diagram similar to FIG. 2 of the flow of information in the distributed **matching system** of the present invention in connection with a hit bid or trade;

FIG. 4 is... ...initially to FIG. 1 thereof, the system of the present invention is a distributed anonymous **matching system** for use in **trading** various trading instruments, such as different foreign exchange currencies. In the system of the present...

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[File 148] **Gale Group Trade & Industry DB** 1976-2007/Sep 26  
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*\*File 148: The CURRENT feature is not working in File 148. See HELP NEWS148.*

[File 160] **Gale Group PROMT(R)** 1972-1989  
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[File 275] **Gale Group Computer DB(TM)** 1983-2007/Sep 24  
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[File 621] **Gale Group New Prod.Annou.(R)** 1985-2007/Sep 26  
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Set	Items	Description
S1	3098899	S (E OR ELECTRONIC OR ON()LINE OR ONLINE OR INTERNET OR WEB OR REMOTE OR VIRTUAL? OR DIGITAL? OR AUTOMAT?? OR COMPUTER? OR SYSTEM? ? OR ARCHITECTURE) (3N) (BROKERING OR BROKING OR TRANSACTION? OR EXCHANGE? OR MARKET? OR TRADE? OR TRADING OR MATCHING OR SECURITIES OR FINANCIAL OR OPTIONS OR SWAPS OR SWAPPING OR AUCTION? ? OR BIDDING)
S2	1231836	S (TWO OR 2 OR SECOND OR COUPLE OR PAIR?? OR DUAL OR DUO OR DOUBLE OR AT()LEAST OR MORE()THAN OR PLURALITY OR BINAL OR COUPLE? OR TWIN OR MATCH??? OR MULTI) (3W) (CHANNEL? OR STREAM??? OR NETWORK? ? OR SYSTEM? ? OR SEVER? ? OR PIPELINE? ? OR BROADBAND OR CONNECTION? ? OR CARRIER? ? OR CONDUIT? ? OR PIPE? ? OR FEED? ? OR LINE? ?)
S3	609379	S (SEPARATE OR INDEPENDENT OR EXCLUSIVE OR AUTONOMOUS OR INDIVIDUAL OR DIFFERENT OR PARTITIONED OR ISOLATED OR DISCRETE OR DISTINCT OR LOGICALLY) (3N) (CHANNEL? OR STREAM??? OR NETWORK? ? OR SYSTEM? ? OR SEVER? ? OR PIPELINE? ? OR BROADBAND OR CONNECTION? ? OR CARRIER? ? OR CONDUIT? ? OR PIPE? ? OR FEED? ? OR LINES)
S4	3288304	S (STREAM??? OR BROADCAST??? OR REAL()TIME OR REALTIME OR INSTANTANEOUS OR INSTANT?? OR AUTOMATI? OR FLOW??? OR REALAUDIO OR REALPLAYER OR MEDIAPLAYER OR (REAL OR MEDIA) () (AUDIO OR PLAYER) OR SEND??? OR BUFFER??? OR DELIVER??? OR DOWNLOAD??? OR CONTINUOUS?? OR TRANSFER???? OR PLAY??? OR TRANSMIT???? OR MOVING) (3N) (INFORMATION OR DATA OR DETAILS OR PARTICULARS OR SPECIFICS OR INFO OR FACTS OR RESEARCH OR CONTENT? ? OR OFFERING OR FEED? ? OR PRODUCT? ? OR PRICE OR PRICING OR COSTS OR QUOTE? ? OR RATE? ? OR COST? ? OR MARKET OR VALUE OR DATE)
S5	566164	S (EXECUT??? OR INSTRUCTION??? OR PERFORM? OR ACTION? OR ACTIVAT? OR INITIAT??? OR (SET? ? OR SETTING) (2W) (MOTION OR UP) OR LAUNCH??? OR INITIALI?) (7N) (SERVER? ? OR TERMINAL? ? OR COMPUTER? ? OR MAINFRAME? ? OR NODE? ? OR CLIENT OR BLADE)
S6	882475	S FOREIGN()EXCHANGE? ? OR FX OR FOREX OR OVER(1W)COUNTER OR OTC
S7	66545	S MULTI()BANK OR MULTIBANK OR INTERBANK OR INTER()BANK
S8	45578	S S1 (10N) (S2 OR S3)
S9	1084	S S8 (5N) (S4 OR S5)
S10	25	S S9 (5N) (S6 OR S7)
S11	10	S S10 NOT PY>2000
S12	5	RD (unique items)
S13	219	S S2 (3N) S4 (10N) S5
S14	5	S S13 (S) S1
S15	5	S S14 NOT S12

S16	5	S S15 NOT PY>2000
S17	4	RD (unique items)
S18	214	S S3 (3N) S4 (15N) S5
S19	13	S S18 (S) S1
S20	13	S S19 NOT (S12 OR S15)
S21	10	S S20 NOT PY>2000
S22	7	RD (unique items)
S23	924	S S6 (3N) S2
S24	203	S S23 (S) S1
S25	200	S S24 NOT (S12 OR S15 OR S20)
S26	150	S S25 NOT PY>2000
S27	125	RD (unique items)
S28	10	S S27 (40N) S4